

## **APPENDIX A**

### **Key Statewide TFACTS (Tennessee Family and Child Tracking System) Reporting Schedule**

Relevant Settlement Agreement Section	Monitoring Report Reference Page	TFACTS Report	Target Completion Date (including testing and cleanup)
III.A	65-66, 116	Open Investigations/Assessments Involving <i>Brian A.</i> Class Members Assigned to Regional CPS (Non SIU Cases)	To be determined (report design being discussed)
III.A	104, 114	CPS Referral by Response Priority	9/30/12
III.A	110, 112	CPS CM Activity Report	9/30/12
III.C	122	CPS Investigations w/3 or more Referrals for Caregiver/Child	9/30/12
V.J	147	<i>Brian A.</i> Caseload Compliance Report	9/30/12
V.K	147	<i>Brian A.</i> Caseload Supervision Report	9/30/12
V.N	155	<i>Brian A.</i> Timeliness of Data Entry (Case Recordings)	9/30/12
VI.A.1.a & XVI.B.6	42, 158	> 75 Miles Placement ( <i>Brian A.</i> 75 Mile Report)	6/30/12
VI.A.1.h	170	CANS High Risk Assessments (Special Report)	9/30/12
VI.B	178	CANS Data Extract	9/30/12
VI.H.1-2	192	<i>Brian A.</i> DCS and Private Provider Face to Face New Placement Summary (6 in 60)	9/30/12
VI.H.1-2	208	<i>Brian A.</i> DCS and Private Provider Face to Face THV Summary (3 in 30)	9/30/12
VII.B,C,F	197	Initial CFTM Summary (including participants, facilitator, supervisor)	9/30/12
VII.B,E	197	Placement Stability/Disruption CFTM Summary (including participants, facilitator, supervisor)	9/30/12
VII.D,F	197	Initial Perm Plan CFTM Summary (including participants, facilitator, supervisor)	9/30/12
VII.F,M	205	Discharge Planning/THV CFTM Summary (including participants, facilitator, supervisor)	9/30/12
VII.K	207	Quarterly CFTM to Revise/Review Permanency Plan	9/30/12

<b>Relevant Settlement Agreement Section</b>	<b>Monitoring Report Reference Page</b>	<b>TFACTS Report</b>	<b>Target Completion Date (including testing and cleanup)</b>
VIII.A & VIII.C.1	212	Diligent Search Activity Report	To be determined (combination of TFACTS redesign and training)
VIII.A & VIII.C.1	212	Diligent Search Exception Report	To be determined (combination of TFACTS redesign and training)
VIII.C.5.a & XVI.B.4	97, 216	Filing a Petition to Terminate Parental Rights (70% filed within 3/6 months)	12/31/12
VIII.C.5.b	216	Length of Time Between TPR Petition and TPR Order of Guardianship	6/30/12

## **APPENDIX B**

### **Regional and Statewide Section XVI Outcome and Performance Measure Data**

This appendix presents the Section XVI outcome and performance measure data for the two most recent reporting periods: July 1, 2009 through June 30, 2010 and January 1, 2011 through January 1, 2012.<sup>1</sup> A separate table is included for each outcome and performance measure. Each table presents the percentage reflecting the level of achievement of each of the regions individually with respect to the outcome or performance measure, the percentage reflecting the statewide level of achievement with respect to the outcome or performance measure, and the Settlement Agreement requirement. The applicable Settlement Agreement provision appears in the title to each table.

<b>XVI.A.1 Reunification or Living with Relatives within 12 Months of Custody</b>						
<b>Region</b>	<b>Children Exiting Care to Reunification or Relative Placement Between 1/1/11 and 1/1/12</b>			<b>Children Exiting Care to Reunification or Relative Placement Between 7/1/09 and 6/30/10</b>		
	Within 12 Months	Within 24 Months	Over 24 Months	Within 12 Months	Within 24 Months	Over 24 Months
Davidson	70%	60%	40%	84%		
East	85%	74%	26%	80%		
Knox	56%	79%	21%	75%		
Mid-Cumberland	72%	90%	10%	82%		
Northeast	75%	74%	26%	77%		
Northwest	67%	84%	16%	76%		
Shelby	81%	68%	32%	88%		
Smoky Mountain	73%	83%	18%	75%		
South Central	63%	74%	26%	86%		
Southwest	69%	89%	11%	85%		
Tennessee Valley	70%	84%	17%	79%		
Upper Cumberland	64%	84%	17%	77%		
<b>Statewide</b>	<b>72%</b>	<b>79%</b>	<b>21%</b>	<b>82%</b>		
<b>Settlement Agreement Requirement</b>	<b>80%</b>	<b>75%</b>		<b>80%</b>	<b>75%</b>	

Source: 7/1/09-6/30/10 from "Brian A. Outcomes Thru Q4 FY2010 by Race" report produced by the Department from TNKids data; 1/1/11-1/1/12 from "Section XVI A" report produced by Chapin Hall from TFACTS data.

<sup>1</sup> Because of the focus on TFACTS implementation during the summer of 2010, the Department produced only the first part of each measure for the period from July 1, 2009 through June 30, 2010.

**XVI.A.2 Adoptions Finalized Within 12 Months of Full Guardianship**

<b>Region</b>	<b>Full Guardianship Obtained Between 1/1/10 and 1/1/11</b>	<b>Full Guardianship Obtained Between 1/1/08 and 6/30/09</b>
Davidson	89%	79%
East	75%	81%
Knox	77%	75%
Mid-Cumberland	76%	75%
Northeast	65%	80%
Northwest	55%	65%
Shelby	62%	66%
Smoky Mountain	69%	83%
South Central	73%	69%
Southwest	80%	53%
Tennessee Valley	65%	72%
Upper Cumberland	64%	74%
<b>Statewide</b>	<b>72%</b>	<b>75%</b>
<b>Settlement Agreement Requirement</b>	<b>75%</b>	<b>75%</b>

Source: 1/1/08-6/30/09 from "Brian A. Outcomes Thru Q4 FY2010 by Race" report produced by the Department from TNKids data; 1/1/10-1/1/11 from "Section XVI A" report produced by Chapin Hall from TFACTS data.

### XVI.A.3 Number of Placements

Region	Children in Custody Between 1/1/11 and 1/1/12		Children in Custody Between 7/1/09 and 6/30/10	
	Two or Fewer Placements within Prior 12 Months of Custody	Two or Fewer Placements within Prior 24 Months of Custody	Two or Fewer Placements within Prior 12 Months of Custody	Two or Fewer Placements within Prior 24 Months of Custody
Davidson	87%	67%	89%	
East	87%	76%	88%	
Knox	88%	74%	87%	
Mid-Cumberland	87%	76%	89%	
Northeast	89%	76%	87%	
Northwest	90%	74%	92%	
Shelby	92%	79%	90%	
Smoky Mountain	90%	77%	84%	
South Central	84%	69%	85%	
Southwest	91%	78%	90%	
Tennessee Valley	89%	78%	87%	
Upper Cumberland	89%	79%	90%	
<b>Statewide</b>	<b>89%</b>	<b>76%</b>	<b>88%</b>	
<b>Settlement Agreement Requirement</b>	<b>90%</b>	<b>85%</b>	<b>90%</b>	<b>85%</b>

Source: 7/1/09-6/30/10 from "Brian A. Outcomes Thru Q4 FY2010 by Race" report produced by the Department from TNKids data; 1/1/11-1/1/12 from "Section XVI A" report produced by Chapin Hall from TFACTS data.

#### XVI.A.4 Length of Time in Placement

Region	Children in Custody Between 1/1/11 and 1/1/12 Between Two			Children in Custody Between 7/1/09 and 6/30/10 Between Two		
	Two Years or Less	and Three Years	More than Three Years	Two Years or Less	and Three Years	More than Three Years
Davidson	78%	14%	8%	75%		
East	84%	8%	7%	81%		
Knox	82%	9%	9%	76%		
Mid-Cumberland	87%	8%	4%	78%		
Northeast	85%	8%	7%	75%		
Northwest	88%	7%	5%	84%		
Shelby	84%	9%	6%	77%		
Smoky Mountain	85%	8%	7%	75%		
South Central	78%	12%	10%	76%		
Southwest	81%	12%	7%	81%		
Tennessee Valley	82%	10%	8%	77%		
Upper Cumberland	87%	10%	3%	78%		
<b>Statewide</b>	<b>84%</b>	<b>9%</b>	<b>7%</b>	<b>77%</b>		
<b>Settlement Agreement Requirement</b>	<b>75%</b>	<b>no more than 17%</b>	<b>no more than 8%</b>	<b>75%</b>	<b>no more than 20%</b>	<b>no more than 5%</b>

Source: 7/1/09-6/30/10 from "Brian A. Outcomes Thru Q4 FY2010 by Race" report produced by the Department from TNKids data; 1/1/11-1/1/12 from "Section XVI A" report produced by Chapin Hall from TFACTS data.



**XVI.A.5 Reentry Within 12 Months of Most Recent Discharge Date**

<b>Region</b>	<b>Children Exiting Custody Between 1/1/10 and 1/1/11</b>	<b>Children Exiting Custody Between 7/1/08 and 6/30/09</b>
Davidson	9%	9%
East	6%	4%
Knox	3%	7%
Mid-Cumberland	6%	4%
Northeast	9%	5%
Northwest	8%	7%
Shelby	6%	9%
Smoky Mountain	5%	8%
South Central	5%	6%
Southwest	7%	5%
Tennessee Valley	4%	6%
Upper Cumberland	5%	7%
<b>Statewide</b>	<b>6%</b>	<b>6%</b>
<b>Settlement Agreement Requirement</b>	<b>no more than 5%</b>	<b>no more than 5%</b>

Source: 7/1/08-6/30/09 from "Brian A. Outcomes Thru Q4 FY2010 by Race" report produced by the Department from TNKids data; 1/1/10-1/1/11 from "Section XVI A" report produced by Chapin Hall from TFACTS data.

**XVI.A.6 Achievement Measures (Youth Reaching at Least One Achievement Measure)**

<b>Region</b>	<b>Youth Exiting Custody Between 1/1/11 and 1/1/12</b>	<b>Youth Exiting Custody Between 7/1/09 and 6/30/10</b>
Davidson	92%	91%
East	78%	87%
Knox	78%	95%
Mid-Cumberland	94%	84%
Northeast	87%	81%
Northwest	85%	73%
Shelby	74%	79%
Smoky Mountain	92%	84%
South Central	93%	88%
Southwest	100%	88%
Tennessee Valley	80%	87%
Upper Cumberland	94%	89%
<b>Statewide</b>	<b>86%</b>	<b>86%</b>
<b>Settlement Agreement Requirement</b>	<b>90%</b>	<b>90%</b>

Source: 7/1/09-6/30/10 from "Brian A. Outcomes Thru Q4 FY2010 by Race" report produced by the Department from TNKids data; 1/1/11-1/1/12 from "Section XVI A" report produced by Chapin Hall from TFACTS data.

XVI.B.1 Parent-Child Visiting				
Region	Children in Out-of-Home Placement with Reunification Goals During December 2011		Children in Out-of-Home Placement with Reunification Goals During April 2010	
	Twice per Month	Once Per Month	Twice per Month	Once Per Month
Davidson	18%	32%	38%	35%
East <sup>2</sup>	16%	28%	20%	22%
Knox	19%	12%	36%	31%
Mid-Cumberland	23%	28%	46%	36%
Northeast	25%	24%	31%	21%
Northwest	38%	25%	42%	27%
Shelby	12%	13%	13%	30%
Smoky Mountain	18%	22%		
South Central	21%	40%	29%	44%
Southwest	19%	22%	36%	39%
Tennessee Valley	22%	30%	26%	29%
Upper Cumberland	20%	20%	30%	43%
<b>Statewide</b>	<b>20%</b>	<b>24%</b>	<b>29%</b>	<b>30%</b>
<b>Settlement Agreement Requirement</b>	<b>50%</b>	<b>60%</b>	<b>50%</b>	<b>60%</b>

Source: TNKids "Parent-Child Visit Compliance Summary Reports" (CEN-PRTCHDVT-200) for April 2010 and TFACTS "Parent Child Visit *Brian A.* Summary Report" for December 2011.

<sup>2</sup> The Parent-Child Visits reports from TNKids did not reflect the division of the old East Region into the new East and Smoky Mountain Regions; for this reason, the April 2010 data for "East" in this table are for the old East Region—that is, the percentage is a combination of performance for the new East and Smoky Mountain Regions. The December 2011 data in this table show performance for the new East and Smoky Mountain regions separately.

XVI.B.2 Placing Siblings Together		
Region	Sibling Groups Entering Custody Within 30 Days of Each Other During Fiscal Year 2010-11	Sibling Groups Entering Custody Within 30 Days of Each Other During Fiscal Year 2009-10
Davidson	95%	79%
East	84%	85%
Knox	77%	85%
Mid-Cumberland	94%	94%
Northeast	87%	91%
Northwest	71%	70%
Shelby	72%	79%
Smoky Mountain	87%	94%
South Central	83%	87%
Southwest	72%	87%
Tennessee Valley	84%	81%
Upper Cumberland	80%	82%
<b>Statewide</b>	<b>82%</b>	<b>85%</b>
<b>Settlement Agreement Requirement</b>	<b>85%</b>	<b>85%</b>

Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

### XVI.B.3 Sibling Visiting<sup>3</sup>

<b>Region</b>	<b>Sibling Groups Entering Custody Within 30 Days of Each Other Who Were Separated During December 2011: % Visiting at Least Once During the Month</b>	<b>Sibling Groups Entering Custody Within 30 Days of Each Other Who Were Separated During March and April 2010: % Visiting at Least Once per Month</b>
Davidson	11%	43%
East <sup>4</sup>	12%	44%
Knox	7%	59%
Mid-Cumberland	31%	60%
Northeast	12%	20%
Northwest	21%	30%
Shelby	15%	48%
Smoky Mountain	10%	
South Central	17%	59%
Southwest	56%	0%
Tennessee Valley	32%	62%
Upper Cumberland	19%	38%
<b>Statewide</b>	<b>19%</b>	<b>47%</b>
<b>Settlement Agreement Requirement</b>	<b>90%</b>	<b>90%</b>

Source: TNKids "Active *Brian A. Class* Sibling Groups Not Placed Together Visitation Summary Report" (SBL-ASGNPTVS-200) for the period March to April 2010 and TFACTS "Sibling Visitation Summary" report for December 2011.

<sup>3</sup> The methodology for reporting on this measure is different for the two reporting periods shown above. The measure for the March and April 2010 reporting period looked at the percentage of sibling groups visiting at least once per month during a two-month period, while the measure for the December 2011 reporting period looks at the percentage of sibling groups visiting at least once during a one-month period.

<sup>4</sup> The Sibling Visits reports from TNKids did not reflect the division of the old East Region into the new East and Smoky Mountain Regions; for this reason, the March and April 2010 data for "East" in this table are for the old East Region—that is, the percentage is a combination of performance for the new East and Smoky Mountain Regions. The December 2011 data in this table show performance for the new East and Smoky Mountain regions separately.

XVI.B.4 Filing a Petition to Terminate Parental Rights <sup>5</sup>				
Region	Children with Sole Adoption Goals for at Least Three/Six Months Between 1/1/11 and 12/31/12		Children with Sole Adoption Goals for at Least Three/Six Months Between 5/1/09 and 4/30/10	
	TPR Activity within 3 Months	TPR Activity within 6 Months	TPR Activity within 3 Months	TPR Activity within 6 Months
Davidson			79%	
East			99%	
Hamilton			95%	
Knox			99%	
Mid-Cumberland			98%	
Northeast			88%	
Northwest			100%	
Shelby			89%	
South Central			90%	
Southeast			72%	
Southwest			47%	
Tennessee Valley			79%	
Upper Cumberland			66%	
Statewide			88%	
Settlement Agreement Requirement	70%	85%	70%	85%

Source: TNKids "Permanency Plan Goal of Adoption TPR Activity Compliance Reports" (ADP-PPGATNCS-200) for the period May 1, 2009 to April 30, 2009.

<sup>5</sup> Reporting on this measure is not yet available from TFACTS; data for the period ending April 30, 2010 is the most recent data available. In addition, the 2010 Modified Settlement Agreement and Exit Plan altered the second part of this requirement, making it a cumulative measure of petitions filed within six months of the change to a sole goal of adoption. This revised measure did not apply for reporting periods prior to November 2010.

**XVI.B.6 PPLA Goals**

<b>Region</b>	<b>Children in Custody on December 26, 2011 Who Had Sole PPLA goals</b>	<b>Children in Custody on February 10, 2011 Who Had Sole PPLA goals</b>
Davidson	0.4%	0.3%
East	0.0%	0.0%
Knox	0.8%	0.5%
Mid-Cumberland	0.6%	0.2%
Northeast	0.3%	0.9%
Northwest	0.8%	0.0%
Shelby	0.5%	0.0%
Smoky Mountain	0.2%	0.0%
South Central	0.0%	1.1%
Southwest	0.9%	0.3%
Tennessee Valley	0.0%	0.3%
Upper Cumberland	0.5%	0.4%
<b>Statewide</b>	<b>0.4%</b>	<b>0.3%</b>
<b>Settlement Agreement Requirement</b>	<b>no more than 5%</b>	<b>no more than 5%</b>

Source: TFACTS *Brian A.* "Mega Reports" for February 10, 2011 and December 26, 2011.

XVI.B.7 Placements Within 75 Miles <sup>6</sup>		
Region	Children in Custody During December 2011	Children in Custody During April 2010
Davidson		87%
East		84%
Knox		84%
Mid-Cumberland		91%
Northeast		95%
Northwest		87%
Shelby		92%
Smoky Mountain		90%
South Central		91%
Southwest		91%
Tennessee Valley		88%
Upper Cumberland		88%
<b>Statewide</b>		<b>89%</b>
<b>Settlement Agreement Requirement</b>	<b>85%</b>	<b>85%</b>

Source: TNKids 75-Mile Placement Report for April 2010.

<sup>6</sup> Reporting on this measure is not yet available from TFACTS; data for the month of April 2010 is the most recent data available.



## **APPENDIX C**

### **Sources of Information**

This appendix describes the primary sources of information relied on and referred to in Section One of this report.

## ***1. Aggregate Data Reports***

These reports are produced by University of Chicago Chapin Hall Center for Children (Chapin Hall) from TFACTS, the Department's new SACWIS system. Most of these are reports that the Department produces on a regular basis for its own planning, tracking, and management needs. Entry cohorts are used for the majority of these reports. In addition, the entry cohort view is refined for most measures by showing information about "first placements," a recognition of the difference between a child who enters care for the first time (a new case for the placement system) and a child who reenters care (a further involvement of the placement system after a failure of permanent discharge).<sup>1</sup> The focus on "first placements" is also a recognition that children who are removed from their homes (or placed "out-of-home") have a much different experience in the child welfare system than children who remain with their families when the Department assumes legal custody.<sup>2</sup>

## ***2. Quality Service Review (QSR)***

The Tennessee Quality Service Review serves as the annual case file review of a statistically significant number of cases required by Section XI of Settlement Agreement. The QSR provides quantitative and qualitative data on both child and family status (how well parents and children with whom the Department is working are doing) and system performance (how well the Department is doing in implementing the quality of case practice that is linked to better outcomes for children and families). The QSR process includes both case file reviews and interviews with children, parents, resource parents, professionals working with the family (both DCS and private provider staff), and others. The QSR protocol focuses on 11 indicators of child and family status and 11 indicators of system performance.<sup>3</sup>

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<sup>1</sup> Although many of the measures use first placement entry cohorts, some use entry cohorts including all entries (both first placements as well as reentries), and some use discharge cohorts. In addition, some measures exclude custody episodes lasting fewer than five days. The specific parameters used for each measure are noted in the text.

<sup>2</sup> Some of the percentages for earlier cohorts presented in Section One of this report are slightly different than the percentages presented in previous monitoring reports for those cohorts. These slight changes can be attributed to TFACTS enhancements and data cleaning efforts occurring since the data were pulled for the earlier reports.

<sup>3</sup> The 11 child and family status indicators are Safety, Stability, Appropriate Placement, Health/Physical Well-being, Emotional/Behavioral Well-being, Learning and Development, Caregiver Functioning, Prospects for Permanence, Family Functioning and Resourcefulness, Family Connections, and Satisfaction. The 11 indicators of system performance are Engagement, Teamwork and Coordination, Ongoing Functional Assessment, Long-Term View, Child and Family Permanency Planning Process, Plan Implementation, Tracking and Adjustment, Resource Availability and Use, Informal Support and Community Involvement, Resource Family Supports/Support for Congregate Care Providers, and Transitioning for Child and Family.

### ***3. DCS Office of Information Systems “Brian A. Reports”***

These are a series of reports generated from TFACTS by the Department<sup>4</sup> and used by the Department to report on progress in meeting the requirements of certain specific provisions of the Settlement Agreement. These include, but are not limited to, a set of measures called for by Section XVI of the Settlement Agreement and reported on in greater detail in Key Outcome and Performance Measures at a Glance, Section One, and Appendices A and E.<sup>5</sup>

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<sup>4</sup> Some of these reports, which had previously been produced by the Department, are now being produced by Chapin Hall for DCS. These reports are separate from what is referred to as the “Chapin Hall Reports.”

<sup>5</sup> Unlike the aggregate data reports produced by Chapin Hall that generally use entry cohorts including out-of-home placements only, the majority of these reports include all children in custody, regardless of when they entered custody or where they are placed. The specific parameters used for each measure are noted in the text.

## **APPENDIX D**

### **A Brief Orientation to the Data: Looking at Children in Foster Care from Three Different Viewpoints**

Typically, when data are used to help convey information about the children who are served by the child welfare system, one of three viewpoints is presented. The “viewpoints” are: “point-in-time” data; “entry cohort” data; and “exit cohort” data. Each viewpoint helps answer different questions.

If we want to understand the day-to-day workload of DCS and how it is or is not changing, we want to look from a “point-in-time” viewpoint. For example, we would use point-in-time information to understand what the daily out-of-home care population was over the course of the year—how many children were in out-of-home placement each day, how many children in the system on any given day were there for delinquency, unruly behavior, or dependency and neglect, and how that daily population has fluctuated over this particular year compared to previous years. Point-in-time data also tells us whether the number of children in care on any given day is increasing, decreasing, or staying the same. A graph that compares snapshots of the population for several years on the same day every month (the same “point in time”) provides a picture of the day-to-day population and its change over time.

But if there is a trend—for example, in Tennessee, that the number of children in care on any given day has been decreasing somewhat over time—it is hard to understand the cause(s) of the increase by looking at “point-in-time data.” For example, were fewer children committed to DCS custody in 2009 than in past years? Or is the decrease the result of children staying in the system for shorter time periods (more children getting released from custody during 2009) than in previous years? For this answer we need to look at “cohort data.”

The question whether fewer children entered custody in 2009 than entered in 2008 is answered by comparing the total number of children who entered custody in 2009 (the 2009 entry cohort) with the number of children who entered custody in 2008 (the 2008 entry cohort).

Entry cohort data is also especially helpful to assess whether the system is improving from year to year. Is the system doing a better job with children who entered in 2009 than with the children who entered in 2008? Comparing the experiences in care of these two groups (entry cohorts) of children—their stability of placement while in care, how often they were placed in family rather than congregate settings, how often they were placed close to their home communities rather than far away—is the best way of measuring year-to-year improvement in these and other important areas of system performance.

There are certain questions for which “exit cohort” data is most helpful. If we want to understand the population of children that may need services after they return to their families, we would need the exit cohort view. These are children with whom DCS would be working to make sure that reunification is safely and successfully achieved. Reentry into foster care is a sign of a failed reunification. It is therefore important to measure the percentage of children exiting care during any given year who reenter custody within a year of discharge. Comparing the reentry rates of children who exited care in 2008 (the 2008 exit cohort) with the reentry rates of those children who exited care in 2007 (the 2007 exit cohort) is one way of understanding whether the system is doing better when returning children to their families in ensuring that reunification is safe and lasting.

In general, the data that are most helpful for tracking system improvement over time are entry cohort data. If the system is improving, the children in the most recent entry cohort should have a better overall experience and better outcomes than children who entered in previous years. Since exit cohorts include children with a range of experience in the foster care system, some of which may extend back many years and precede recent improvement efforts, they are generally not useful for understanding trends over time.

## **APPENDIX E**

### **Race and Ethnicity Data**

This appendix presents race breakouts of those key outcome measures and performance indicators for which race data are currently available. Race data are currently available for the measures listed below.

- From the Settlement Agreement Outcome and Performance Measures for the first part of Period V (through June 30, 2010):
  - Reunification within 12 months (XVI.A.1),
  - Adoption finalization within 12 months of full guardianship (XVI.A.2),
  - Number of placements within the previous 12 months (XVI.A.3),
  - Length of time in placement (XVI.A.4),
  - Reentry into placement (XVI.A.5),
  - Achievement measures upon discharge (XVI.A.6), and
  - Planned Permanent Living Arrangement (PPLA) goals (XVI.B.5);
- From the Regional Outcome reports produced by Chapin Hall:
  - Reduce the rate of children entering out-of-home care (Purpose No. 1),
  - Increase the proportion of children initially placed in home county (Purpose No. 2),
  - Increase the proportion of children initially placed in a family setting (Purpose No. 3),
  - Increase placement stability (Purpose No. 7), and
  - Increase the number and rate of siblings placed together initially (Purpose No. 8).

### **Settlement Agreement Section XVI Outcome and Performance Measures**

In the following tables, “Other” includes American Indian/Alaska Native, Asian, Native Hawaiian/Other Pacific Islander, Multiracial, Undetermined, Unknown, and Missing.



XVI.A.1 Reunification Children Exiting Care Between 1/1/11 and 1/1/12 Number and Percent Who Were Reunified with Parents or Exited to Relatives Within 12 Months of Entry															
Region	Total Population			White			Black/African American			Hispanic			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	185	130	70.3%	51	37	72.5%	92	58	63.0%	8	6	75.0%	34	29	85.3%
East	251	213	84.9%	206	175	85.0%	0	0		13	9	69.2%	32	29	90.6%
Knox	211	119	56.4%	140	74	52.9%	46	29	63.0%	8	3	37.5%	17	13	76.5%
Mid-Cumberland	348	250	71.8%	184	125	67.9%	36	21	58.3%	23	19	82.6%	105	85	81.0%
Northeast	286	214	74.8%	229	168	73.4%	10	6	60.0%	5	4	80.0%	42	36	85.7%
Northwest	136	91	66.9%	94	64	68.1%	19	11	57.9%	8	4	50.0%	15	12	80.0%
Shelby	479	386	80.6%	24	19	79.2%	329	241	73.3%	21	21	100.0%	105	105	100.0%
Smoky Mountain	354	257	72.6%	260	171	65.8%	11	9	81.8%	26	25	96.2%	57	52	91.2%
South Central	227	143	63.0%	188	116	61.7%	14	11	78.6%	6	0	0.0%	19	16	84.2%
Southwest	173	120	69.4%	80	63	78.8%	63	33	52.4%	6	5	83.3%	24	19	79.2%
Tennessee Valley	327	230	70.3%	211	157	74.4%	71	40	56.3%	10	6	60.0%	35	27	77.1%
Upper Cumberland	239	154	64.4%	192	121	63.0%	10	8	80.0%	8	3	37.5%	29	22	75.9%
Statewide	3216	2307	71.7%	1859	1290	69.4%	701	467	66.6%	142	105	73.9%	514	445	86.6%
Outcome Goal	80.0%			80.0%			80.0%			80.0%			80.0%		

XVI.A.2 Adoption Finalization Full Guardianship Obtained Between 1/1/10 and 1/1/11 Number and Percent of Adoption Finalizations Within 12 Months of Full Guardianship															
Region	Total Population			White			Black/African American			Hispanic			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	62	55	88.7%	22	19	86.4%	20	17	85.0%	11	10	90.9%	9	9	100.0%
East	92	69	75.0%	83	63	75.9%	2	1	50.0%	4	2	50.0%	3	3	100.0%
Knox	146	112	76.7%	101	75	74.3%	25	17	68.0%	10	10	100.0%	10	10	100.0%
Mid-Cumberland	127	97	76.4%	91	66	72.5%	13	10	76.9%	10	9	90.0%	13	12	92.3%
Northeast	78	51	65.4%	59	40	67.8%	1	1	100.0%	11	4	36.4%	7	6	85.7%
Northwest	11	6	54.5%	9	5	55.6%	2	1	50.0%	0	0		0	0	
Shelby	78	48	61.5%	7	6	85.7%	59	35	59.3%	8	5	62.5%	4	2	50.0%
Smoky Mountain	94	65	69.1%	82	56	68.3%	2	2	100.0%	4	3	75.0%	6	4	66.7%
South Central	64	47	73.4%	50	34	68.0%	4	3	75.0%	6	6	100.0%	4	4	100.0%
Southwest	35	28	80.0%	21	16	76.2%	12	10	83.3%	0	0		2	2	100.0%
Tennessee Valley	91	59	64.8%	71	45	63.4%	13	10	76.9%	2	1	50.0%	5	3	60.0%
Upper Cumberland	117	75	64.1%	99	63	63.6%	5	2	40.0%	9	8	88.9%	4	2	50.0%
Statewide	995	712	71.6%	695	488	70.2%	158	109	69.0%	75	58	77.3%	67	57	85.1%
Outcome Goal	75.0%			75.0%			75.0%			75.0%			75.0%		

XVI.A.3 Number of Placements Children in Custody Between 1/1/11 and 1/1/12 Number and Percent of Children Experiencing Two or Fewer Placements During Previous 12 Months															
Region	Total Population			White			Black/African American			Hispanic			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	548	477	87.0%	173	156	90.2%	247	199	80.6%	49	48	98.0%	79	74	93.7%
East	865	750	86.7%	685	591	86.3%	16	10	62.5%	37	34	91.9%	127	115	90.6%
Knox	1004	883	87.9%	671	602	89.7%	213	170	79.8%	51	49	96.1%	69	62	89.9%
Mid-Cumberland	1143	998	87.3%	608	527	86.7%	163	136	83.4%	81	70	86.4%	291	265	91.1%
Northeast	998	887	88.9%	784	692	88.3%	34	31	91.2%	31	29	93.5%	149	135	90.6%
Northwest	352	316	89.8%	229	202	88.2%	62	58	93.5%	21	20	95.2%	40	36	90.0%
Shelby	1429	1308	91.5%	92	87	94.6%	1126	1017	90.3%	44	43	97.7%	167	161	96.4%
Smoky Mountain	1354	1212	89.5%	981	878	89.5%	30	25	83.3%	97	80	82.5%	246	229	93.1%
South Central	763	637	83.5%	607	507	83.5%	57	43	75.4%	38	37	97.4%	61	50	82.0%
Southwest	459	418	91.1%	206	184	89.3%	184	169	91.8%	14	13	92.9%	55	52	94.5%
Tennessee Valley	1093	976	89.3%	751	675	89.9%	193	159	82.4%	44	42	95.5%	105	100	95.2%
Upper Cumberland	961	858	89.3%	798	711	89.1%	24	19	79.2%	41	39	95.1%	98	89	90.8%
Statewide	10969	9720	88.6%	6585	5812	88.3%	2349	2036	86.7%	548	504	92.0%	1487	1368	92.0%
Outcome Goal	90.0%			90.0%			90%			90.0%			90.0%		

XVI.A.4 Length of Time in Placement Children in Custody Between 1/1/11 and 1/1/12 Number and Percent of Children Who Had Been in Custody for Two Years or Less															
Region	Total Population			White			Black/African American			Hispanic			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	562	439	78.1%	176	138	78.4%	256	186	72.7%	49	41	83.7%	81	74	91.4%
East	880	743	84.4%	699	582	83.3%	16	14	87.5%	37	26	70.3%	128	121	94.5%
Knox	1012	833	82.3%	676	573	84.8%	215	160	74.4%	51	42	82.4%	70	58	82.9%
Mid-Cumberland	1150	1003	87.2%	611	516	84.5%	165	126	76.4%	81	71	87.7%	293	290	99.0%
Northeast	1010	857	84.9%	795	667	83.9%	34	27	79.4%	31	19	61.3%	150	144	96.0%
Northwest	354	313	88.4%	230	204	88.7%	63	56	88.9%	21	16	76.2%	40	37	92.5%
Shelby	1459	1230	84.3%	93	75	80.6%	1143	945	82.7%	48	43	89.6%	175	167	95.4%
Smoky Mountain	1366	1165	85.3%	987	819	83.0%	31	24	77.4%	97	78	80.4%	251	244	97.2%
South Central	772	605	78.4%	614	487	79.3%	59	49	83.1%	38	21	55.3%	61	48	78.7%
Southwest	468	380	81.2%	209	166	79.4%	188	151	80.3%	14	13	92.9%	57	50	87.7%
Tennessee Valley	1104	901	81.6%	757	616	81.4%	195	162	83.1%	46	32	69.6%	106	91	85.8%
Upper Cumberland	966	836	86.5%	802	682	85.0%	25	21	84.0%	41	38	92.7%	98	95	96.9%
Statewide	11103	9305	83.8%	6649	5525	83.1%	2390	1921	80.4%	554	440	79.4%	1510	1419	94.0%
Outcome Goal	75.0%			75.0%			75.0%			75.0%			75.0%		

**XVI.A.5 Reentry into Placement**  
**Children Exiting Custody Between 1/1/10 and 1/1/11**  
**Number and Percent of Children Who Reentered Custody Within 12 Months of Discharge**

Region	Total Population			White			Black/African American			Hispanic			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	359	31	8.6%	102	5	4.9%	169	20	11.8%	41	1	2.4%	47	5	10.6%
East	408	23	5.6%	344	19	5.5%	12	2	16.7%	14	1	7.1%	38	1	2.6%
Knox	369	10	2.7%	234	6	2.6%	77	4	5.2%	31	0	0.0%	27	0	0.0%
Mid-Cumberland	534	32	6.0%	324	18	5.6%	100	7	7.0%	39	1	2.6%	71	6	8.5%
Northeast	337	30	8.9%	273	26	9.5%	19	2	10.5%	12	0	0.0%	33	2	6.1%
Northwest	171	13	7.6%	119	10	8.4%	31	3	9.7%	11	0	0.0%	10	0	0.0%
Shelby	841	49	5.8%	101	2	2.0%	640	43	6.7%	28	0	0.0%	72	4	5.6%
Smoky Mountain	460	24	5.2%	395	18	4.6%	15	3	20.0%	26	0	0.0%	24	3	12.5%
South Central	336	17	5.1%	258	15	5.8%	31	0	0.0%	23	0	0.0%	24	2	8.3%
Southwest	242	18	7.4%	107	5	4.7%	112	10	8.9%	3	0	0.0%	20	3	15.0%
Tennessee Valley	496	21	4.2%	353	17	4.8%	87	3	3.4%	24	1	4.2%	32	0	0.0%
Upper Cumberland	305	16	5.2%	251	10	4.0%	15	2	13.3%	20	4	20.0%	19	0	0.0%
<b>Statewide</b>	<b>4858</b>	<b>284</b>	<b>5.8%</b>	<b>2861</b>	<b>151</b>	<b>5.3%</b>	<b>1308</b>	<b>99</b>	<b>7.6%</b>	<b>272</b>	<b>8</b>	<b>2.9%</b>	<b>417</b>	<b>26</b>	<b>6.2%</b>
<b>Outcome Goal</b>	<b>&lt;= 8%</b>			<b>&lt;= 8%</b>			<b>&lt;= 8%</b>			<b>&lt;= 8%</b>			<b>&lt;= 8%</b>		

**XVI.A.6 Achievement Measures Upon Discharge**  
**Youth Exiting Custody to Emancipation Between 1/1/11 and 1/1/12 Who Had Exit Survey Records**  
**Number and Percent of Youth Reaching at Least One Achievement Measure**

Region	Total Population			White			Black/African American			Hispanic			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	13	12	92.3%	4	3	75.0%	7	7	100.0%	1	1	100.0%	1	1	100.0%
East	18	14	77.8%	18	14	77.8%	0	0		0	0		0	0	
Knox	27	21	77.8%	13	9	69.2%	12	10	83.3%	0	0		2	2	100.0%
Mid-Cumberland	17	16	94.1%	10	10	100.0%	5	4	80.0%	0	0		2	2	100.0%
Northeast	15	13	86.7%	13	11	84.6%	0	0		1	1	100.0%	1	1	100.0%
Northwest	13	11	84.6%	3	3	100.0%	8	6	75.0%	1	1	100.0%	1	1	100.0%
Shelby	19	14	73.7%	0	0		18	13	72.2%	0	0		1	1	100.0%
Smoky Mountain	24	22	91.7%	19	18	94.7%	0	0		4	3	75.0%	1	1	100.0%
South Central	27	25	92.6%	18	17	94.4%	6	5	83.3%	3	3	100.0%	0	0	
Southwest	5	5	100.0%	1	1	100.0%	4	4	100.0%	0	0		0	0	
Tennessee Valley	20	16	80.0%	16	13	81.3%	4	3	75.0%	0	0		0	0	
Upper Cumberland	16	15	93.8%	13	12	92.3%	1	1	100.0%	2	2	100.0%	0	0	
<b>Statewide</b>	<b>214</b>	<b>184</b>	<b>86.0%</b>	<b>128</b>	<b>111</b>	<b>86.7%</b>	<b>65</b>	<b>53</b>	<b>81.5%</b>	<b>12</b>	<b>11</b>	<b>91.7%</b>	<b>9</b>	<b>9</b>	<b>100.0%</b>
<b>Outcome Goal</b>	<b>90.0%</b>			<b>90.0%</b>			<b>90.0%</b>			<b>90.0%</b>			<b>90.0%</b>		

**XVI.B.5 Goal of Planned Permanent Living Arrangement  
Children in Custody on December 26, 2011  
Number and Percent of Children with a Sole PPLA Goal**

Region	Total Population			White			Black/African American			Other		
	Total	#	%	Total	#	%	Total	#	%	Total	#	%
Davidson	282	1	0.4%	107	0	0.0%	130	1	0.8%	45	0	0.0%
East	505	0	0.0%	400	0	0.0%	18	0	0.0%	87	0	0.0%
Knox	629	4	0.6%	468	3	0.6%	138	1	0.7%	23	0	0.0%
Mid-Cumberland	696	2	0.3%	378	2	0.5%	114	0	0.0%	204	0	0.0%
Northeast	614	5	0.8%	482	5	1.0%	23	0	0.0%	109	0	0.0%
Northwest	186	1	0.5%	125	1	0.8%	37	0	0.0%	24	0	0.0%
Shelby	836	2	0.2%	71	1	1.4%	634	1	0.2%	131	0	0.0%
Smoky Mountain	891	0	0.0%	669	0	0.0%	36	0	0.0%	186	0	0.0%
South Central	432	4	0.9%	363	3	0.8%	45	1	2.2%	24	0	0.0%
Southwest	260	0	0.0%	126	0	0.0%	116	0	0.0%	18	0	0.0%
Tennessee Valley	644	5	0.8%	475	4	0.8%	109	1	0.9%	60	0	0.0%
Upper Cumberland	592	3	0.5%	448	3	0.7%	11	0	0.0%	133	0	0.0%
<b>Statewide</b>	<b>6567</b>	<b>27</b>	<b>0.4%</b>	<b>4112</b>	<b>22</b>	<b>0.5%</b>	<b>1411</b>	<b>5</b>	<b>0.4%</b>	<b>1044</b>	<b>0</b>	<b>0.0%</b>
<b>Outcome Goal</b>	<b>&lt;= 5%</b>			<b>&lt;= 5%</b>			<b>&lt;= 5%</b>			<b>&lt;= 5%</b>		

**Rate (per 1,000) of Children Entering Out-of-Home Placement  
Children Entering Out-of-Home Placement for the First Time During Fiscal Year 2010-11**

<b>Region</b>	<b>Total Population</b>	<b>White</b>	<b>Black/ African American</b>	<b>Hispanic</b>
Davidson	1.4	0.9	1.5	1.4
East	5.8	4.9	5.8	4.4
Knox	3.6	3.1	5.9	4
Mid-Cumberland	1.9	1.1	1.9	2.6
Northeast	4.1	3.4	5.2	2.6
Northwest	2.7	2.3	2.6	6.7
Shelby	2.9	0.8	3.4	2.3
Smoky Mountain	5.9	4.4	3.7	11.2
South Central	3.1	3	2.7	2.7
Southwest	2.5	1.7	3.2	2.2
Tennessee Valley	3	2.9	2.7	2.4
Upper Cumberland	4.9	4.4	5.6	2.4
<b>Statewide</b>	<b>3.1</b>	<b>2.6</b>	<b>3</b>	<b>3</b>

**Percent of Children Placed In-County or with Relatives/Kin  
Children Entering Out-of-Home Placement for the First Time During Fiscal Year 2010-11**

<b>Region</b>	<b>Total Population</b>	<b>White</b>	<b>Black/ African American</b>
Davidson	83%	74%	86%
East	44%	43%	45%
Knox	80%	80%	80%
Mid-Cumberland	63%	61%	64%
Northeast	65%	65%	82%
Northwest	54%	54%	67%
Shelby	93%	92%	92%
Smoky Mountain	44%	46%	70%
South Central	46%	46%	47%
Southwest	36%	39%	34%
Tennessee Valley	56%	52%	77%
Upper Cumberland	58%	63%	38%
<b>Statewide</b>	<b>62%</b>	<b>57%</b>	<b>80%</b>



**Percentage of Children Initially Placed in a Family Setting  
Children Entering Out-of-Home Placement for the First Time During Fiscal Year 2010-11**

<b>Region</b>	<b>Total Population</b>	<b>White</b>	<b>Black/ African American</b>
Davidson	93%	90%	96%
East	87%	86%	82%
Knox	91%	94%	83%
Mid-Cumberland	97%	96%	98%
Northeast	88%	90%	88%
Northwest	95%	95%	95%
Shelby	89%	92%	89%
Smoky Mountain	88%	87%	90%
South Central	95%	95%	89%
Southwest	94%	95%	92%
Tennessee Valley	86%	86%	85%
Upper Cumberland	88%	89%	100%
<b>Statewide</b>	<b>90%</b>	<b>90%</b>	<b>90%</b>

**Percentage of Children Experiencing Two or Fewer Placements Over Two-Year Window  
Children in Out-of-Home Placement on July 1, 2009 (Observed Through June 30, 2011)**

<b>Region</b>	<b>Total Population</b>	<b>White</b>	<b>Black/ African American</b>
Davidson	83%	82%	82%
East	85%	84%	67%
Knox	83%	86%	74%
Mid-Cumberland	86%	85%	82%
Northeast	84%	86%	59%
Northwest	84%	86%	80%
Shelby	82%	98%	80%
Smoky Mountain	83%	82%	87%
South Central	81%	78%	85%
Southwest	80%	80%	78%
Tennessee Valley	81%	85%	70%
Upper Cumberland	86%	89%	84%
<b>Statewide</b>	<b>83%</b>	<b>84%</b>	<b>78%</b>

**Percentage of Children Experiencing Two or Fewer Placements over Two-Year Window**  
**Children Entering Out-of-Home Placement During Fiscal Year 2009-10 (Observed through June 30, 2011)**

<b>Region</b>	<b>Total Population</b>	<b>White</b>	<b>Black/ African American</b>
Davidson	83%	85%	79%
East	82%	83%	86%
Knox	79%	78%	73%
Mid-Cumberland	76%	79%	62%
Northeast	83%	83%	67%
Northwest	88%	90%	73%
Shelby	83%	94%	81%
Smoky Mountain	76%	76%	74%
South Central	78%	77%	83%
Southwest	87%	91%	83%
Tennessee Valley	79%	80%	79%
Upper Cumberland	81%	83%	90%
<b>Statewide</b>	<b>81%</b>	<b>81%</b>	<b>78%</b>

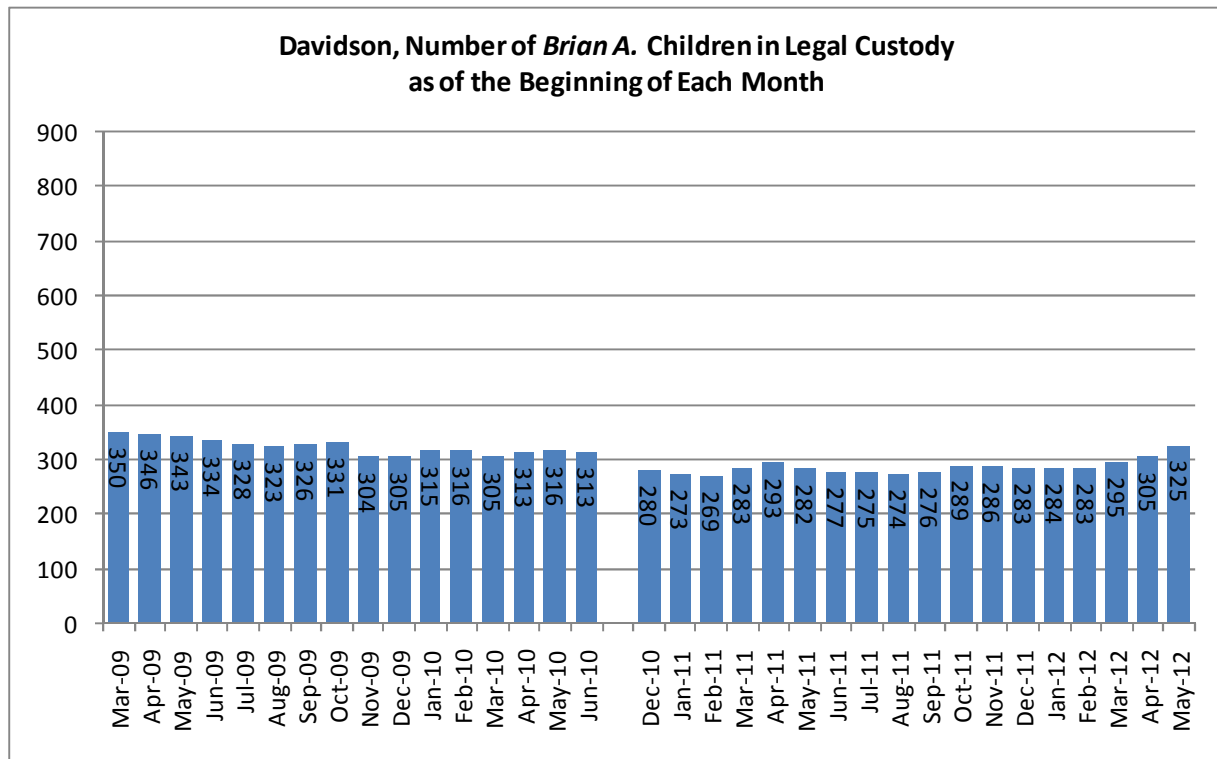
**XVI.B.2 Placing Siblings Together**  
**Percent of Sibling Groups Placed Together Initially**  
**Sibling Groups Entering Out-of-Home Placement Together for the First Time During Fiscal Year 2010-11**

<b>Region</b>	<b>Total Population</b>	<b>White</b>	<b>Black/ African American</b>
Davidson	95%	100%	90%
East	84%	85%	0%
Knox	77%	78%	50%
Mid-Cumberland	94%	94%	86%
Northeast	87%	85%	100%
Northwest	71%	50%	50%
Shelby	72%	100%	68%
Smoky Mountain	87%	91%	0%
South Central	83%	85%	50%
Southwest	72%	85%	67%
Tennessee Valley	84%	88%	71%
Upper Cumberland	80%	90%	0%
<b>Statewide</b>	<b>82%</b>	<b>86%</b>	<b>70%</b>
<b>Outcome Goal</b>	<b>85%</b>	<b>85%</b>	<b>85%</b>

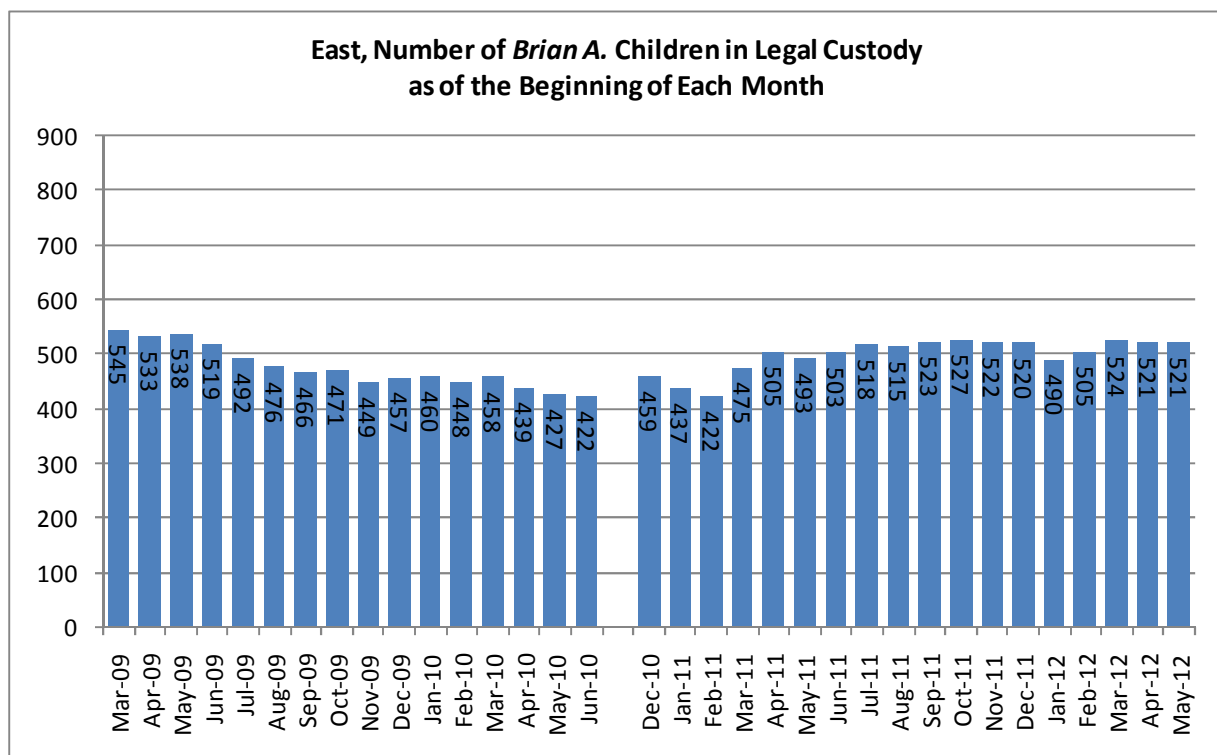
## **APPENDIX F**

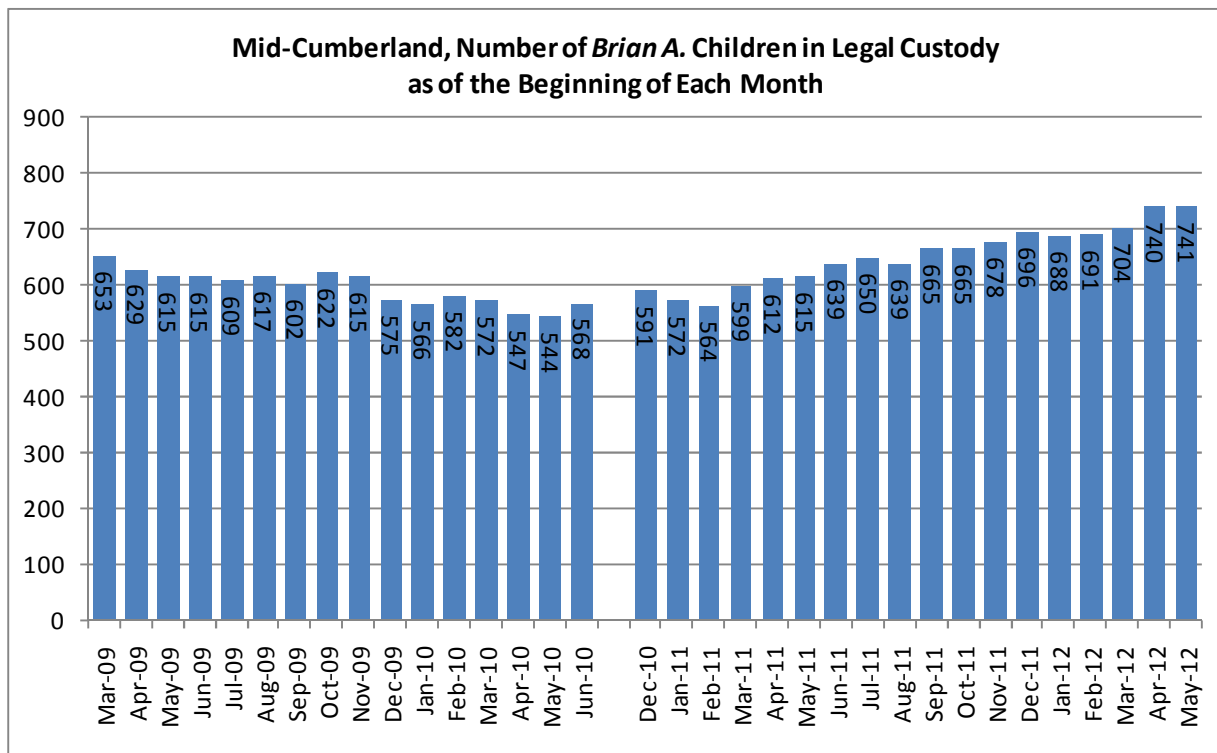
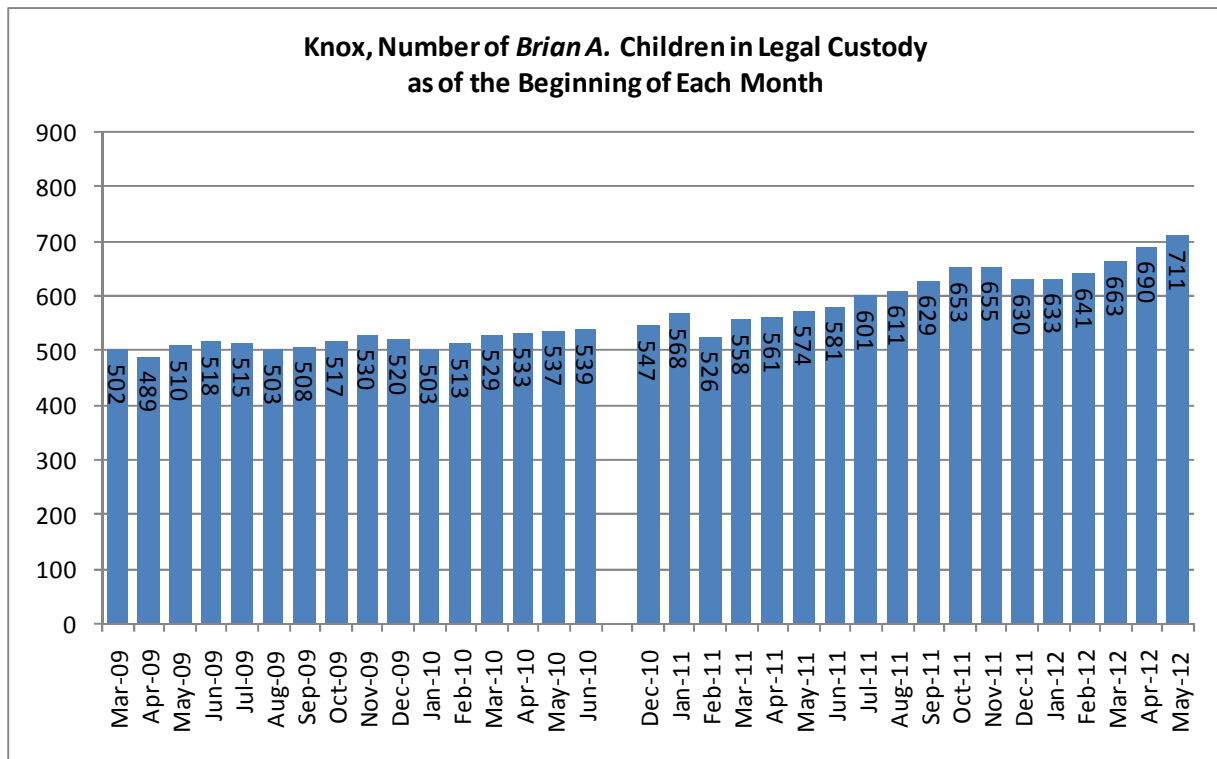
**Number of *Brian A.* Children in Legal Custody  
by Region,  
March 2009-May 2012**

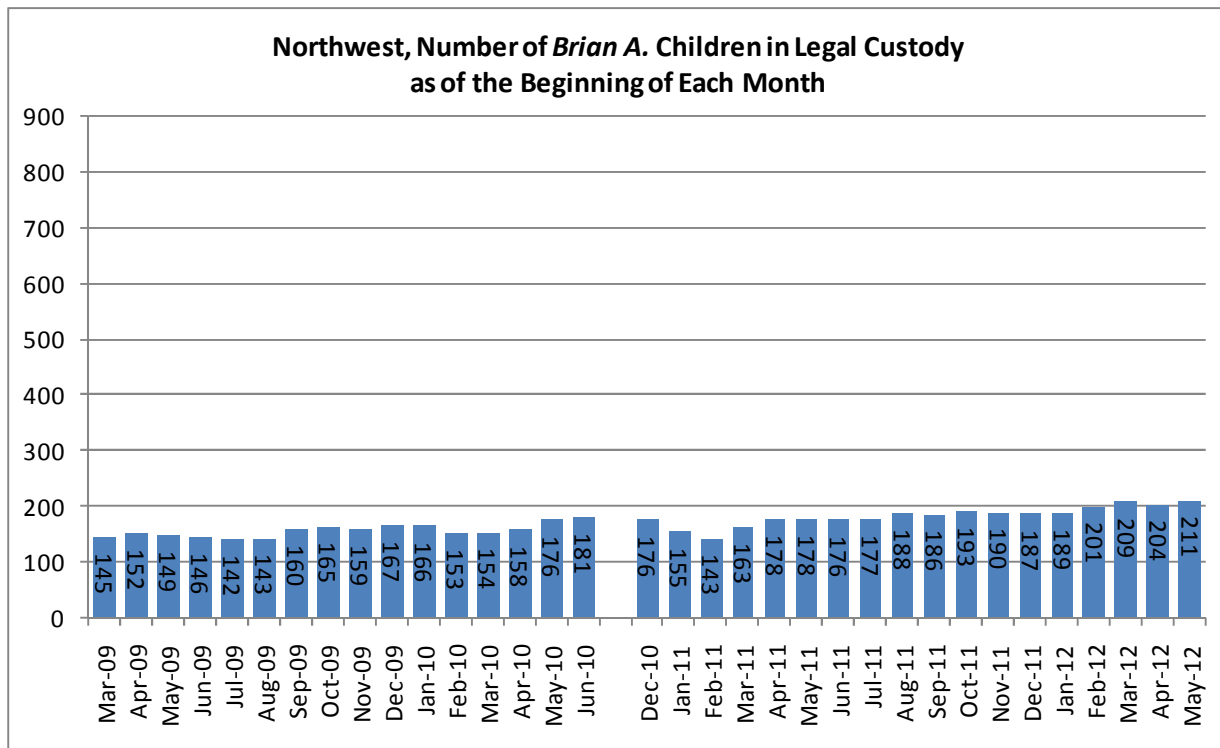
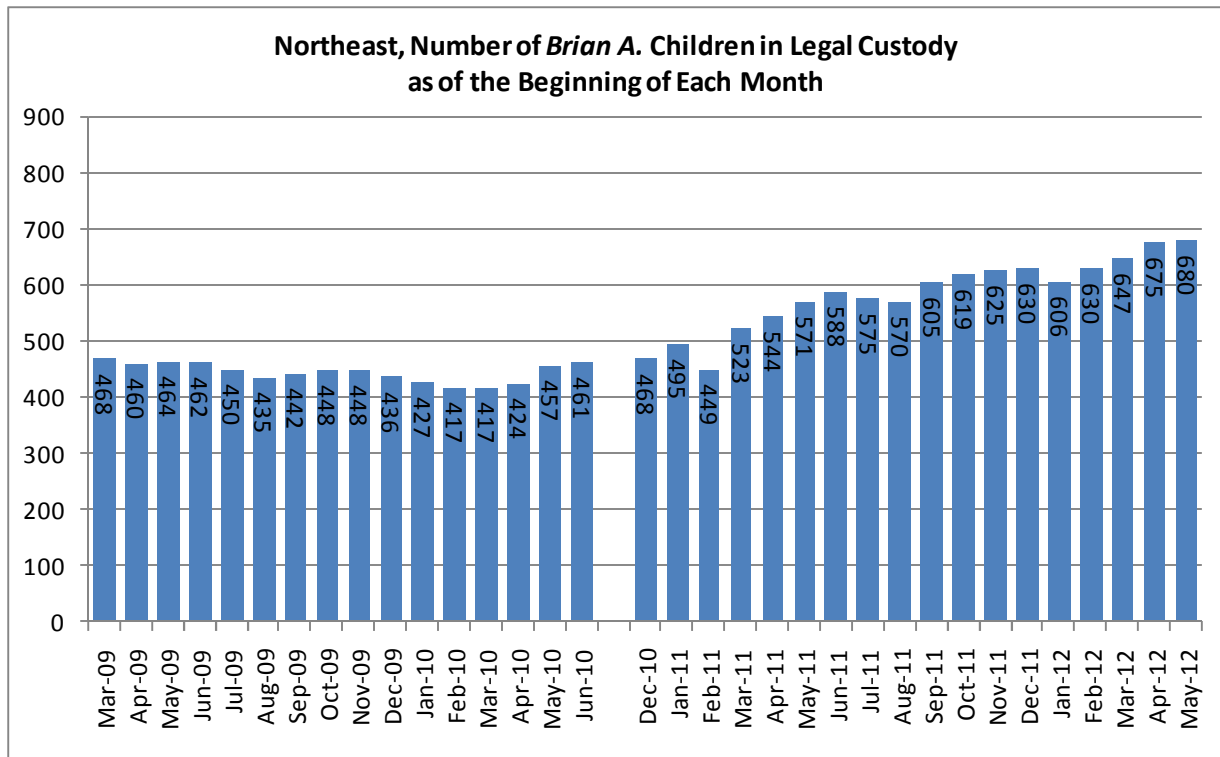
The following figures present, for each of the 12 regions, the number of *Brian A.* children in legal custody at the beginning of each month since March 2009.

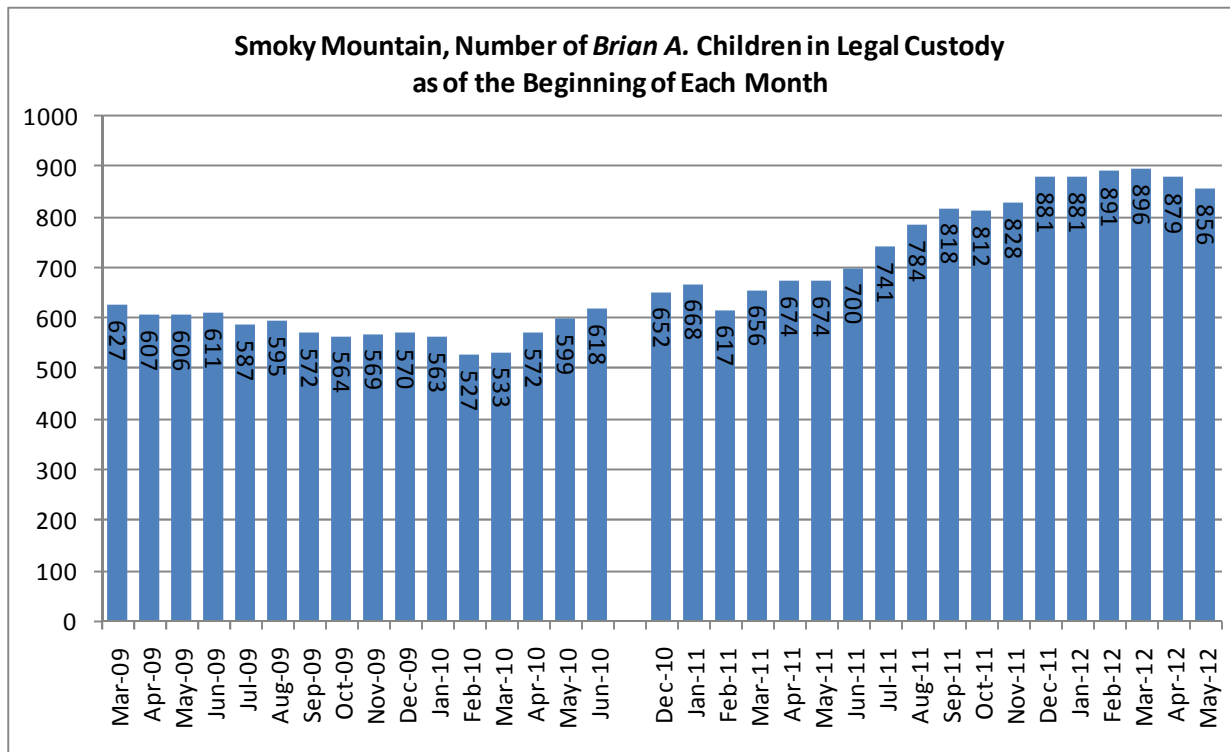
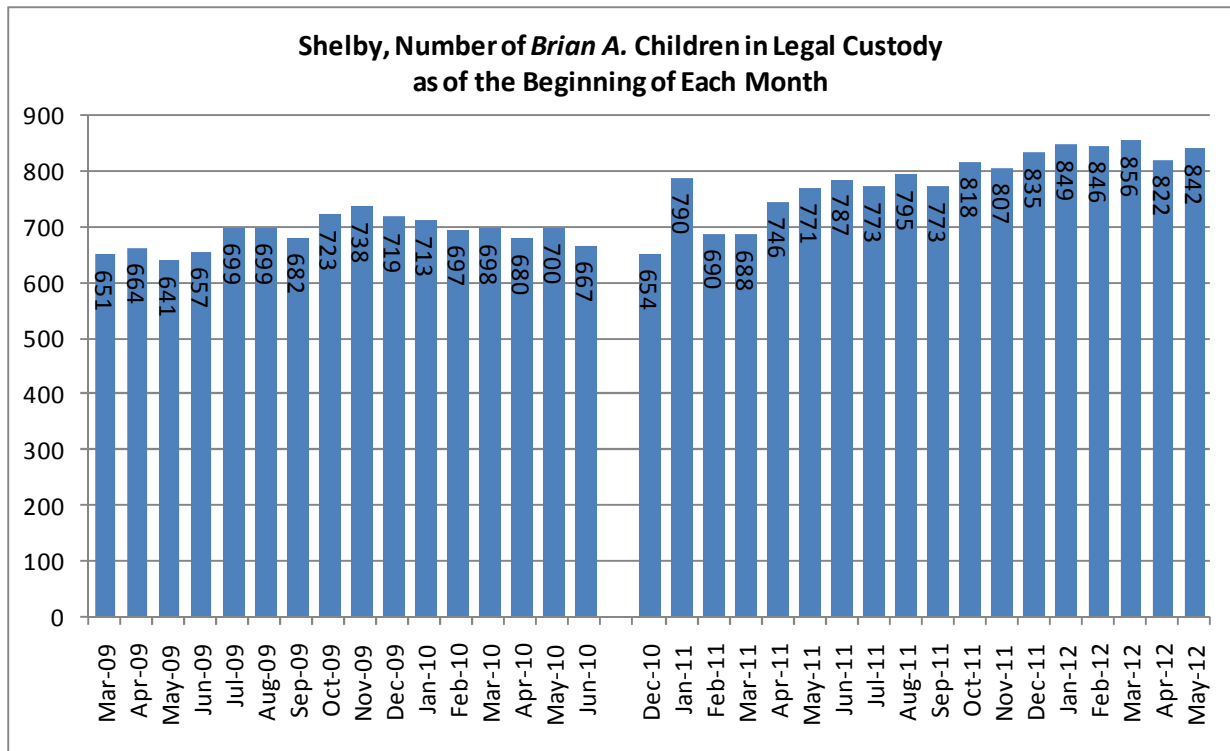


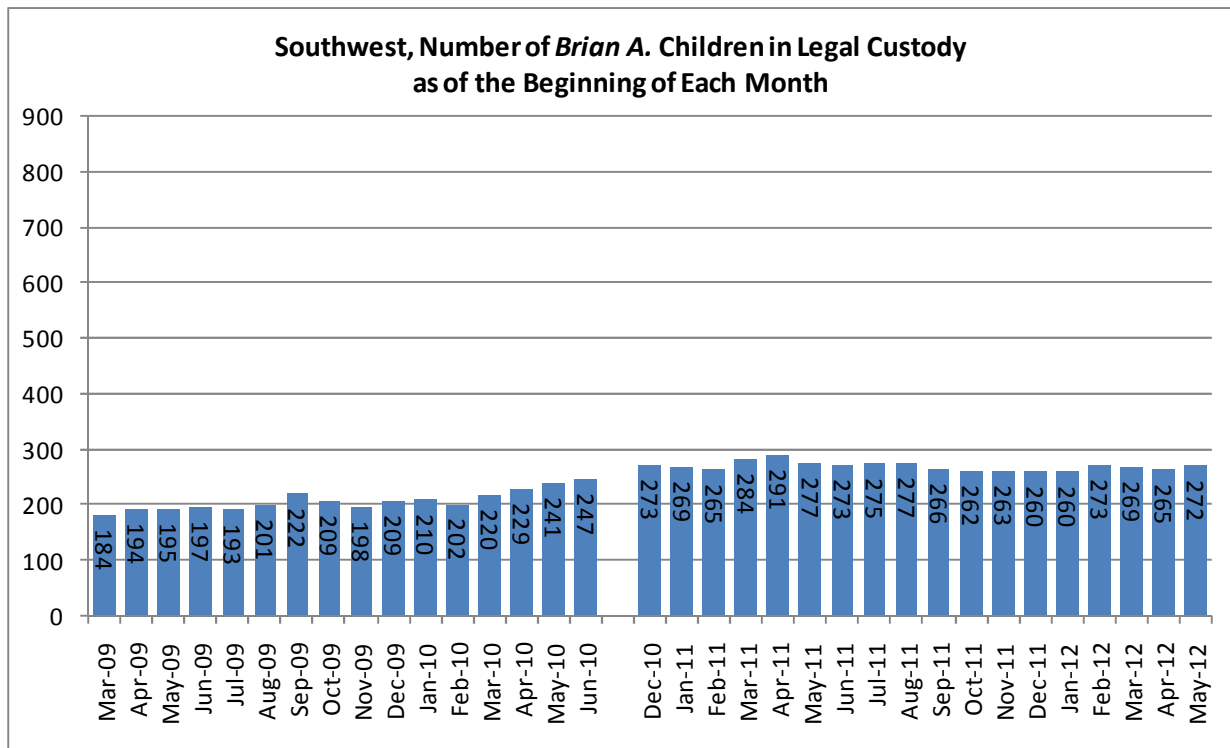
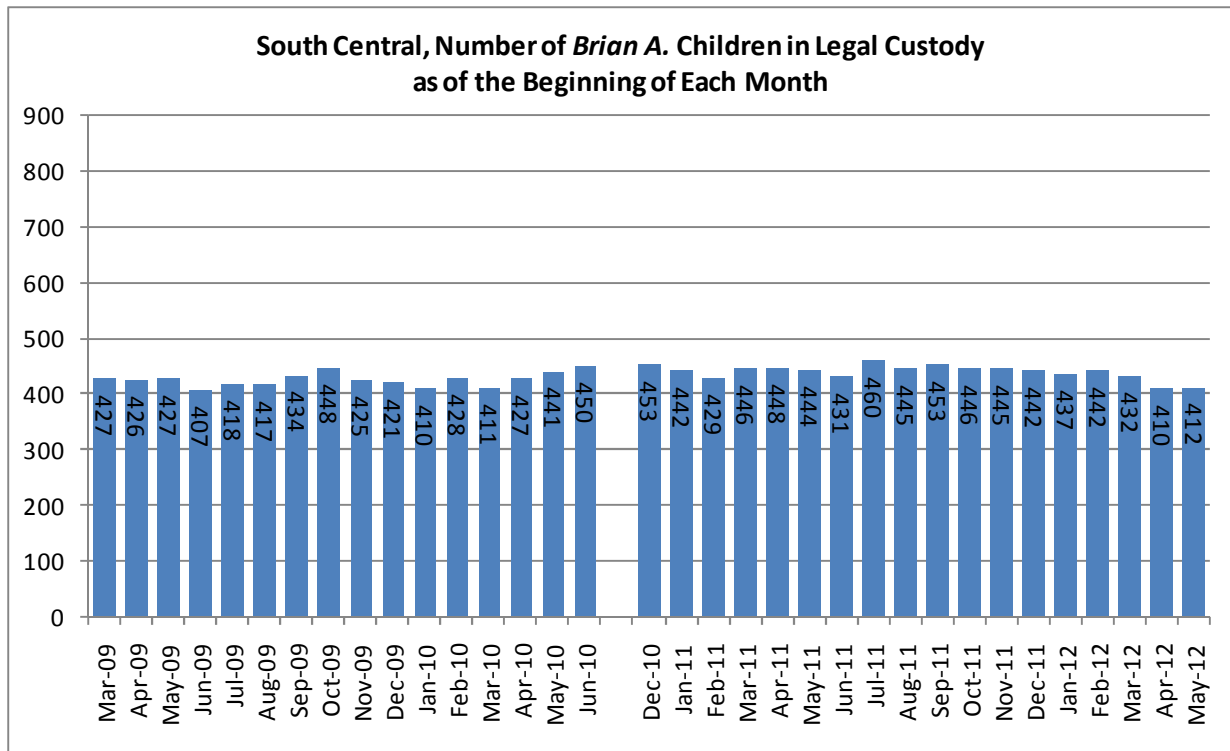
Source for all figures: March 2009-June 2010 from TNKids Mega Reports as of the beginning of each month; December 2010-May 2012 from TFACTS Mega Reports as of the beginning of each month.



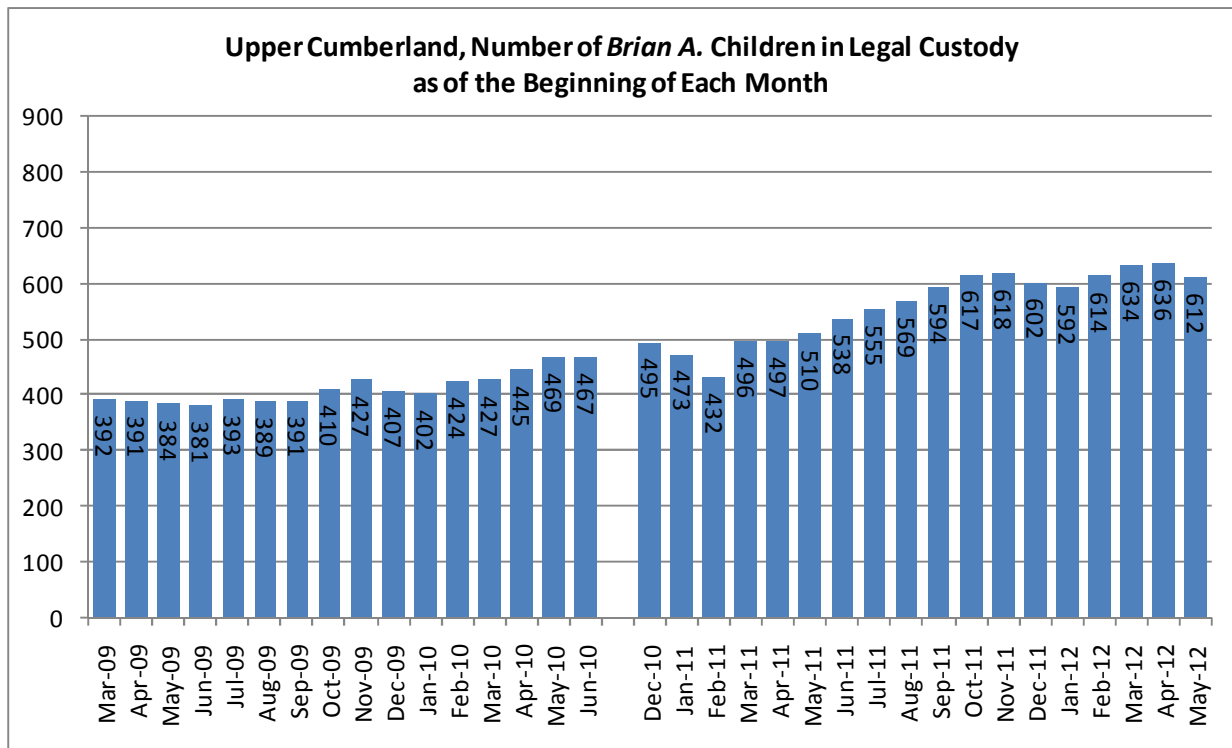
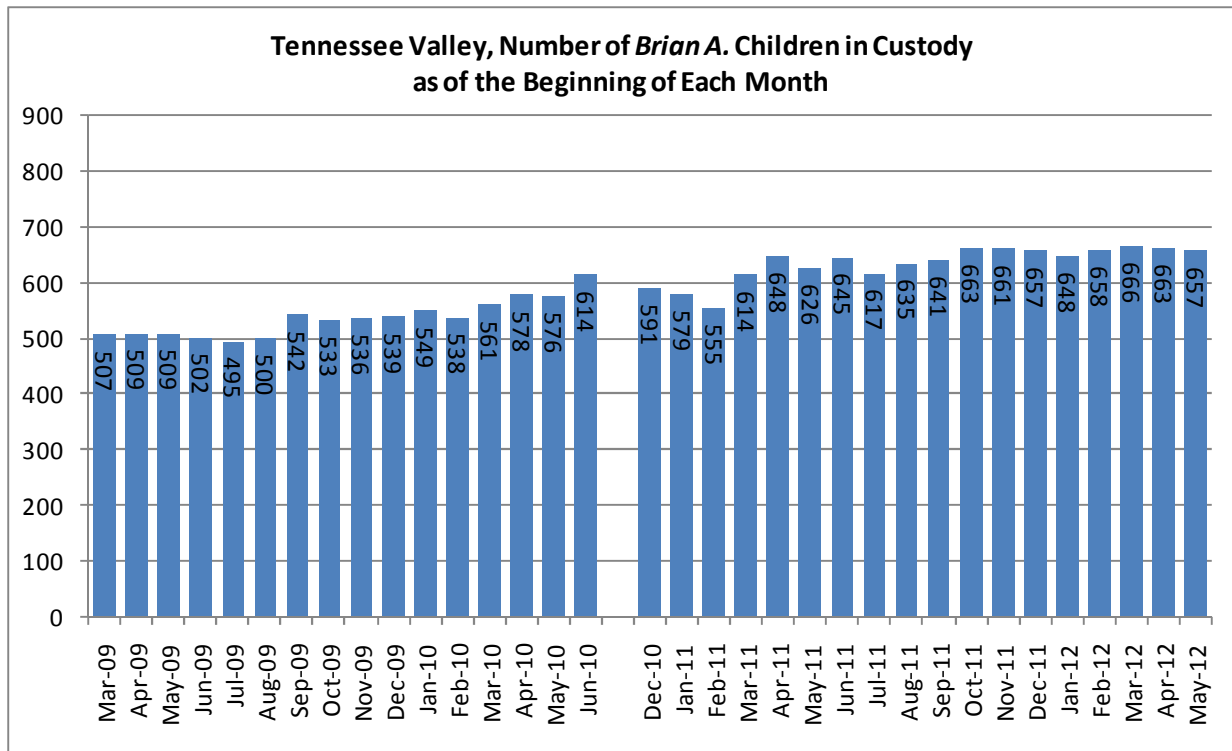












## **APPENDIX G**

### **Supplemental Information on Placement Stability**

This appendix presents additional information supplementing the data discussion on pages 45-51 of this monitoring report regarding placement stability.

## A. Placement Moves by Exit Status

When considering data on placement stability, it is important to know whether the children have exited out-of-home placement or still remain in care, because the children who have already exited will not experience any more placement moves, but the children who remain in care might. The table below breaks down the data presented in Figure 17 on page 46 of this monitoring report by whether or not the children had exited care as of December 31, 2011.

Movements as of December 31, 2011 for Children First Entering Care in 2010			
First Entrants	Total	Exited Care	Still in Care
Total	4,493	3,348	1,145
Children w/ no moves to date	2,096	1,834	262
Children w/ one move to date	1,307	920	387
Children w/ more than one move to date	1,090	594	496
Row Percent: Within movement category, what proportion of children have already exited care?			
Total	100%	75%	25%
Children w/ no moves to date	100%	88%	13%
Children w/ one move to date	100%	70%	30%
Children w/ more than one move to date	100%	54%	46%
Column Percent: By exit status, what proportion of children experienced moves?			
Total	100%	100%	100%
Children w/ no moves to date	47%	55%	23%
Children w/ one move to date	29%	27%	34%
Children w/ more than one move to date	24%	18%	43%

Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

The table shows that of the 4,493 children who entered out-of-home placement for the first time in 2010, 75% had exited placement and 25% still remain in out-of-home placement as of December 31, 2011. The vast majority (88%) of the 2,096 children who experienced no moves had exited care as of December 31, 2011. Of the 1,090 children who experienced more than one move, 54% exited care as of December 31, 2011, and 46% of those children still remained in care as of that date.

Of the 1,145 children in the 2010 entry cohort who were still in care as of December 31, 2011, 23% had not experienced a placement move while in care; 34% had experienced one placement move; and 43% had experienced two or more placement moves.

The majority of children who experience placement moves remain in out-of-home care for longer periods of time, and the majority of children who do not experience placement moves exit out-of-home care in shorter periods of time.

This trend becomes more pronounced over time, as seen in the table below. The table below presents these same data regarding placement moves by exit status as of December 31, 2011 for the 2009 entry cohort (children entering out-of-home care for the first time in 2009), allowing observation of trends for a maximum of 36 months (compared to a maximum window of 24 months for the table above). As of December 31, 2011, 96% of the 2,042 children who did not experience a placement move had exited placement while only 75% of the 1,031 children who experienced more than one move had exited placement. Of the 421 children in the 2009 entry cohort who were still in care as of December 31, 2011, 20% had not experienced a placement move while in care; 20% had experienced one placement move; and 60% had experienced two or more placement moves.

Table: Movements as of December 31, 2011 for Children First Entering Care in 2009			
First Entrants	Total	Exited Care	Still in Care
Total	4,024	3,603	421
Children w/ no moves to date	2,042	1,957	85
Children w/ one move to date	951	868	83
Children w/ more than one move to date	1,031	778	253
Row Percent: Within movement category, what proportion of children have already exited care?			
Total	100%	90%	10%
Children w/ no moves to date	100%	96%	4%
Children w/ one move to date	100%	91%	9%
Children w/ more than one move to date	100%	75%	25%
Column Percent: By exit status, what proportion of children experienced moves?			
Total	100%	100%	100%
Children w/ no moves to date	51%	54%	20%
Children w/ one move to date	24%	24%	20%
Children w/ more than one move to date	26%	22%	60%

Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

## B. Placement Moves by Time in Care

The table below provides data suggesting that for children who experience placement moves, most of the moves tend to occur during the first six months in out-of-home care. The table describes when placement moves tend to occur for children who experience placement moves. The rows in the first portion break out the total number of children entering out-of-home placement for the first time in 2009 (“Total Children”), the number of children entering out-of-home placement in 2009 who have not experienced a placement move as of December 31, 2011 (“Stayers”), and the number of children entering out-of-home placement in 2009 who have experienced at least one placement move as of December 31, 2011 (“Movers”). The columns indicate how many of each of those groups experienced the different periods in out-of-home placement as of December 31, 2011. For example, 4,001 children experienced six or fewer months in out-of-home placement as of December 31, 2011; 1,861 of those children also

experienced seven to 12 months in out-of-home placement; and 1,283 of those children also experienced 13 to 18 months in out-of-home placement.<sup>1</sup>

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<sup>1</sup> There are two possible reasons why a child may not have experienced the later periods in care: either the child exited out-of-home placement prior to reaching that period(s), or the child entered out-of-home placement at the end of 2009 and has not had time to experience that period(s) in out-of-home placement.

<b>Period Specific Movements for Children First Placed in Foster Care in 2009 as of December 31, 2011</b>							
Children by Moves	Placement Intervals (Duration in Months)						
	6 and under	7 to 12	13 to 18	19 to 24	25 to 30	31 to 36	37 to 42 43 to 48
Total Children	4,001	1,861	1,283	855	528	120	
Stayers	2,042	531	313	192	121	22	
Movers	1,959	1,330	970	663	407	98	
Number of Moves							
0	290	843	673	481	316	86	
1	1,072	333	217	122	62	10	
2	388	114	68	34	20	2	
3	129	27	9	17	5		
4	46	10	2	7	4		
5	20	2		1			
6	8	1					
7	2		1				
8	4			1			
9							
Total Movers	1,959	1,330	970	663	407	98	
As a Percent of Total Children by Placement Interval							
Total Children	100%	100%	100%	100%	100%	100%	
Stayers	51%	29%	24%	22%	23%	18%	
Movers	49%	71%	76%	78%	77%	82%	
Number of Moves As a Percent of Total Movers by Placement Interval							
0	15%	63%	69%	73%	78%	88%	
1	55%	25%	22%	18%	15%	10%	
2	20%	9%	7%	5%	5%	2%	
3	7%	2%	1%	3%	1%	0%	
4	2%	1%	0%	1%	1%	0%	
5	1%	0%	0%	0%	0%	0%	
6	0%	0%	0%	0%	0%	0%	
7	0%	0%	0%	0%	0%	0%	
8	0%	0%	0%	0%	0%	0%	
9	0%	0%	0%	0%	0%	0%	
Total Movers	100%	100%	100%	100%	100%	100%	

Source: Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.  
Outliers (children experiencing more than nine moves) are not included in this analysis.

Breaking this data into groups by whether or not the child has experienced a placement move as of December 31, 2011 shows that about half of the children entering out-of-home placement in 2009 have experienced at least one placement move. It also shows that the children who remain in out-of-home placement longer tend to be the children who have experienced placement moves. For example, of the 4,001 total children entering out-of-home placement in 2009 and experiencing the “six or fewer months” period, only 49% (1,959) experienced a placement move at some point during their stay in out-of-home placement as of December 31, 2011. Conversely, of the 1,283 children who experienced the “13 to 18 months” period, 76% (970) experienced a placement move at some point in their stay in out-of-home placement as of December 31, 2011.

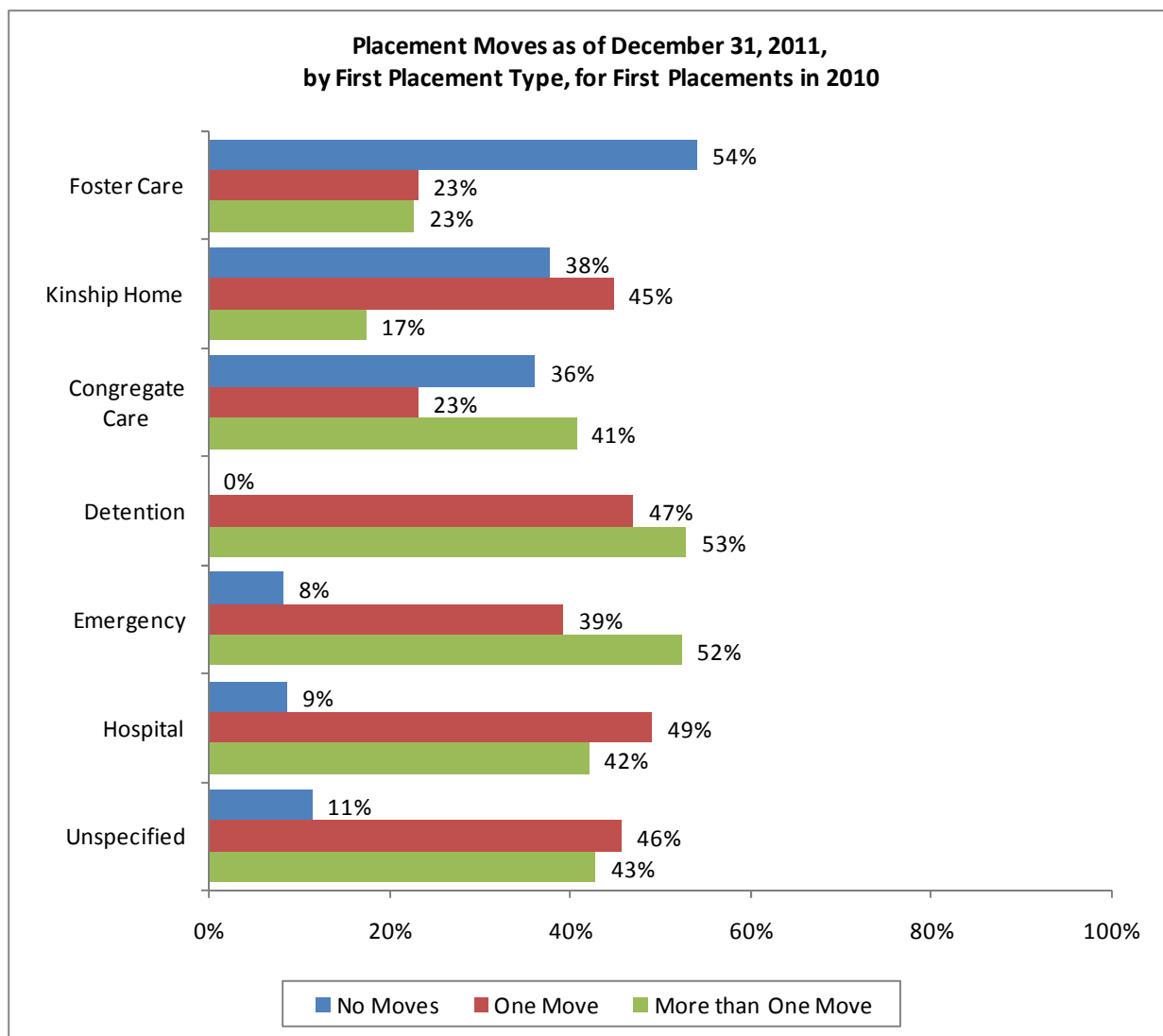
The second portion of the table shows when the placement moves occurred for those children who experienced a placement move. For example, of the 1,959 “movers” who experienced six or fewer months in out-of-home placement, 15% (290) did not experience the placement move (or moves) during that period, but 85% (1,669) did. (Of the 85% of children who experienced a move during the first six months in out-of-home placement, 55% experienced one move, 20% experienced two moves, and so on.) Of the 970 “movers” who experienced 13 to 18 months in out-of-home placement, 69% (673) did not experience the move (or moves) during that period, and only 31% (297) did. This indicates that most children who experience a placement move experience the move during their first six months in out-of-home placement. It also indicates that children who experience multiple placement moves tend to experience those moves during the first six months in out-of-home placement.

These patterns were also seen for children entering out-of-home placement for the first time in earlier entry cohorts, as reported in previous monitoring reports.

### **C. Placement Moves by Type of Placement**

The figure below provides a breakdown of placement stability data by the child’s first placement type when entering out-of-home care. The data for the 2010 entry cohort reflect a significant departure from the levels of placement stability for children placed in kinship resource homes observed for previous entry cohorts. As reported in the corresponding appendix to the November 2010 Monitoring Report, for children entering out-of-home placement for the first time in 2008, those whose first placement was with relatives were less likely to move to another placement setting. Two-thirds (66%) of children initially placed with relatives had not experienced a placement move while in care as of December 31, 2009. However, as seen in the figure below, only 38% of children first entering placement during 2010 who were initially placed with relatives had experienced no placement moves as of December 31, 2011. TAC monitoring staff are following up with Chapin Hall and the Department to better understand the implications of this recent data.

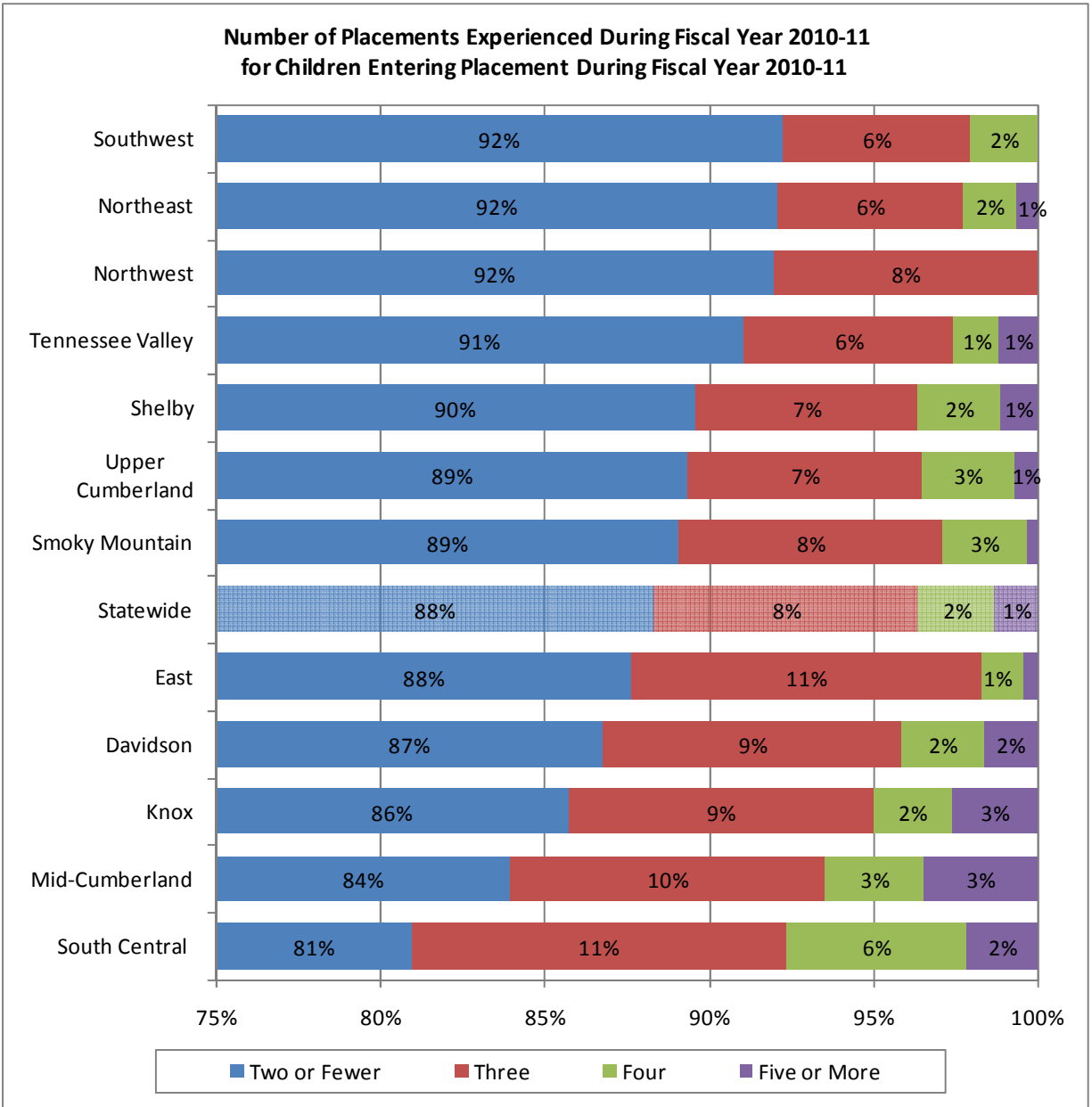




Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

#### **D. Number of Placement Moves by Region**

The figure below provides a more detailed look, by region, at the number of placements experienced during fiscal year 2010-11 by children who entered care for the first time during fiscal year 2010-11.

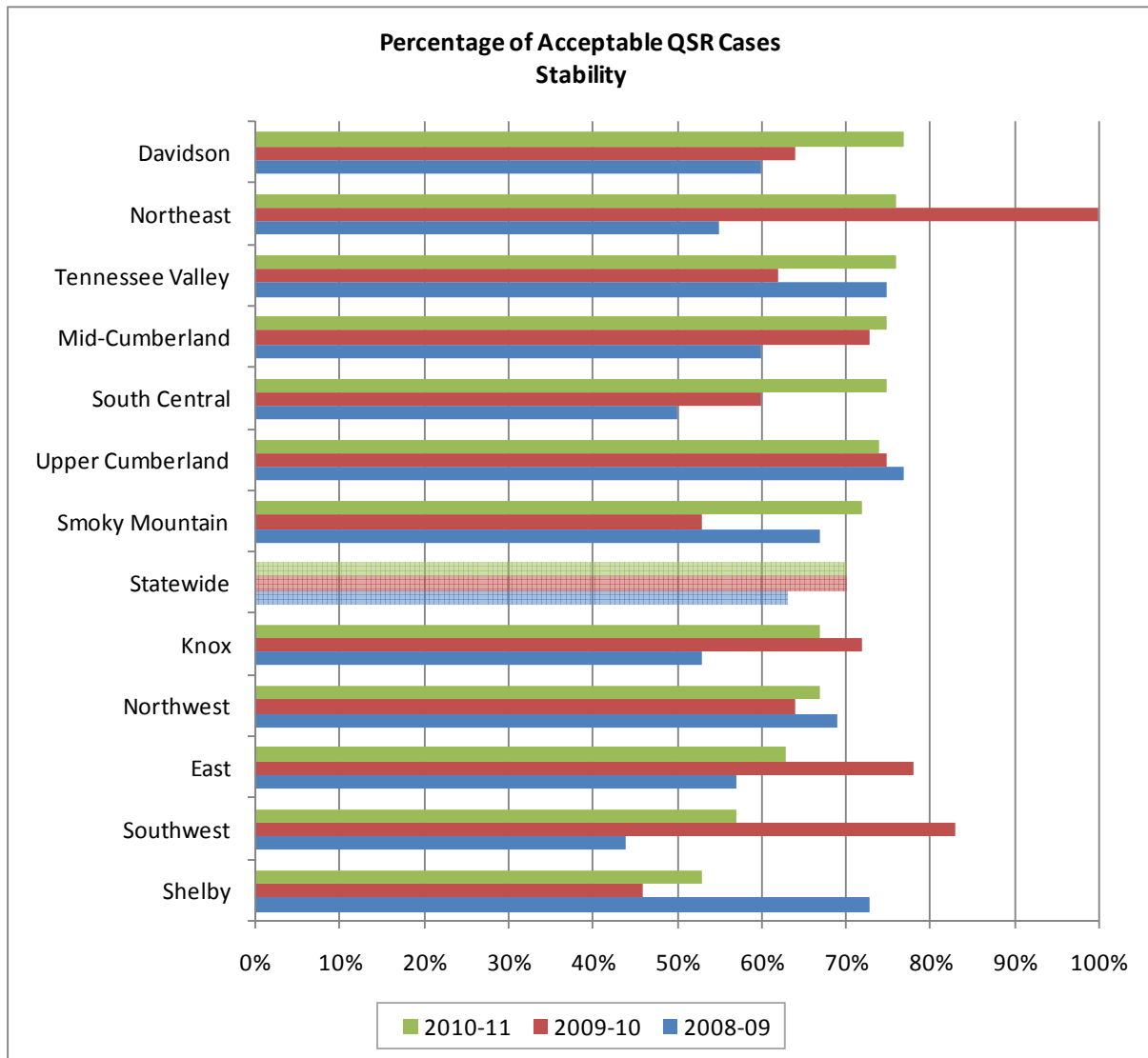


Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

### E. QSR Stability Indicator

Stability is also measured by the Quality Service Review (QSR). The focus of the QSR is not just on placement stability but also on stability of school settings and stability of relationships. Generally, a case cannot receive an acceptable score for Stability if the child has experienced more than two placements in the 12-month period prior to the review. However, a case in which the child had experienced two or fewer placements might nevertheless be scored unacceptable for Stability if the child experienced disruption in school settings or disruption of important personal, therapeutic, or professional relationships. For the past two annual QSRs (2009-10 and 2010-11), 70% of the cases scored “acceptable” for Stability. The following figure presents the

percentage of *Brian A.* cases receiving acceptable scores for Stability by region in the past three annual QSRs.



Source: Annual QSR finalized databases.

## **APPENDIX H**

**2011 *Brian A.* Parent-Child Visits Review  
Report of Findings,  
May 18, 2012**

**2011 Brian A. Parent-Child Visits Review**  
**Report of Findings,**  
**May 18, 2012**

**Brian A Requirement (SA XVI.B.1)**

*“Parent-child visiting*

*a. The standard: For children in the plaintiff class with a goal of reunification, parent-child visiting shall mean a face-to-face visit with one or both parents and the child which shall take place for no less than one hour each time (unless the visit is shortened to protect the safety or well-being of the child as documented in the child’s case record). The visit shall take place in the child’s home if possible or in as homelike a setting as possible, or for longer as otherwise required by the child’s permanency plan and reasonable professional standards. This standard does not apply to situations in which there is a court order prohibiting visitation or limiting visitation to less frequently than once every month. The child’s case manager may consider the wishes of a child (generally older adolescents) and document in the case file any deviation from usual visitation requirements.*

*b. At least 50% of all class members with a goal of reunification shall be visited face-to-face by one or both parents at least twice per month for at least one hour in as home-like a setting as possible, unless there is a court order to the contrary or the case manager has considered and documented the wishes of a child to deviate from this requirement.*

*c. For the remaining class members with a goal of reunification who are not visited twice per month, at least 60% shall be visited once a month in keeping with the standards of the preceding paragraph.”*

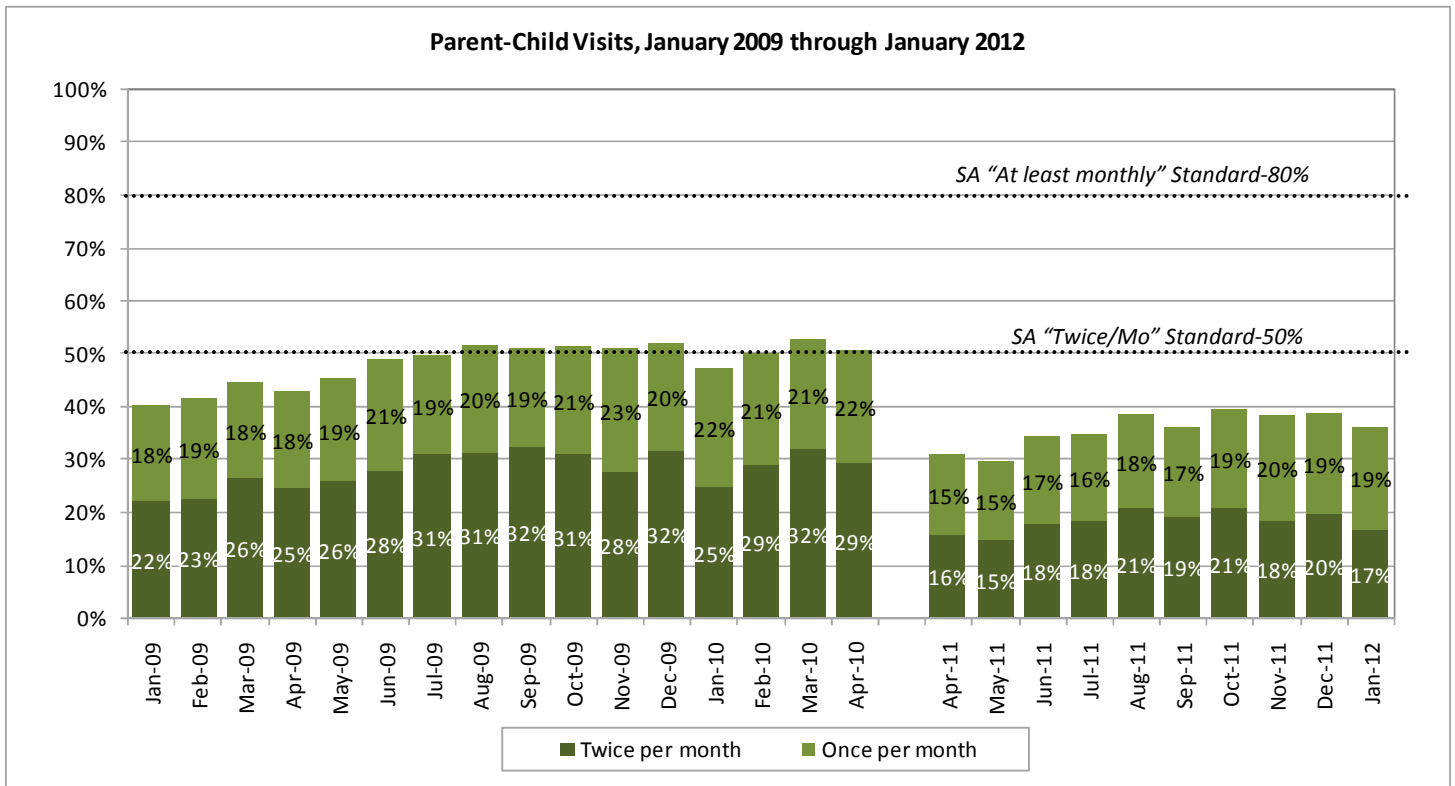
The Settlement Agreement effectively requires that 80% of children visit with their parents at least once per month: 50% must visit twice per month and an additional 30% (or 60% of the remaining 50% who did not visit twice per month) must visit once per month, for a total of 80% visiting at least once per month.

**Brief Orientation to the Review**

- The purpose of the review was to look beyond information available from the aggregate data to better understand practice regarding parent-child visits:
  - To what degree are visits occurring that are not documented correctly in TFACTS to be counted by the aggregate report?
  - To what degree are visits being documented in TFACTS that did not occur (visits that are being over reported by the aggregate report)?
  - To what degree do the specific exceptions allowed under the Settlement Agreement account for the lack of visits?

- What are the other reasons that visits are not occurring?
- The cases of a total of 94 *Brian A.* children were reviewed (this is a sample size at a 95% confidence level and plus/minus 10 confidence interval). The population for the review mirrored the population for TFACTS aggregate report as much as possible. The 4,146 children in the review population met the requirements for inclusion in the aggregate report according to the July 28, 2011 Mega Report. Specifically, they:
  - were *Brian A.* class members (dependent/neglect or unruly adjudications),
  - had a sole or concurrent reunification goal (we also included blank goals and non-custody goals thinking that these were likely to be reunification goals that hadn't been updated in TFACTS),
  - were placed in TN,
  - were not on trial home visit or in In-Home placements,
  - were not on runaway,
  - were not in full guardianship, and/or
  - were in care at least one month (entered on or before June 30, 2011).
- Reviewers read case recordings, family functional assessments, permanency plans, visitation plans, CFTM summaries, case conference notes, and any other relevant information that they could find in TFACTS. They searched for information about parent-child visits that occurred, regardless of how the visits were documented, although they did keep notes about documentation. Follow-up requests were sent to the regions as needed for additional information about the frequency of visits or the reasons that visits did not occur (follow-up was requested for 72 (or 77%) of the 94 cases reviewed).

## Aggregate Parent-Child Visits Reports from TNKids/TFACTS



## Key Findings

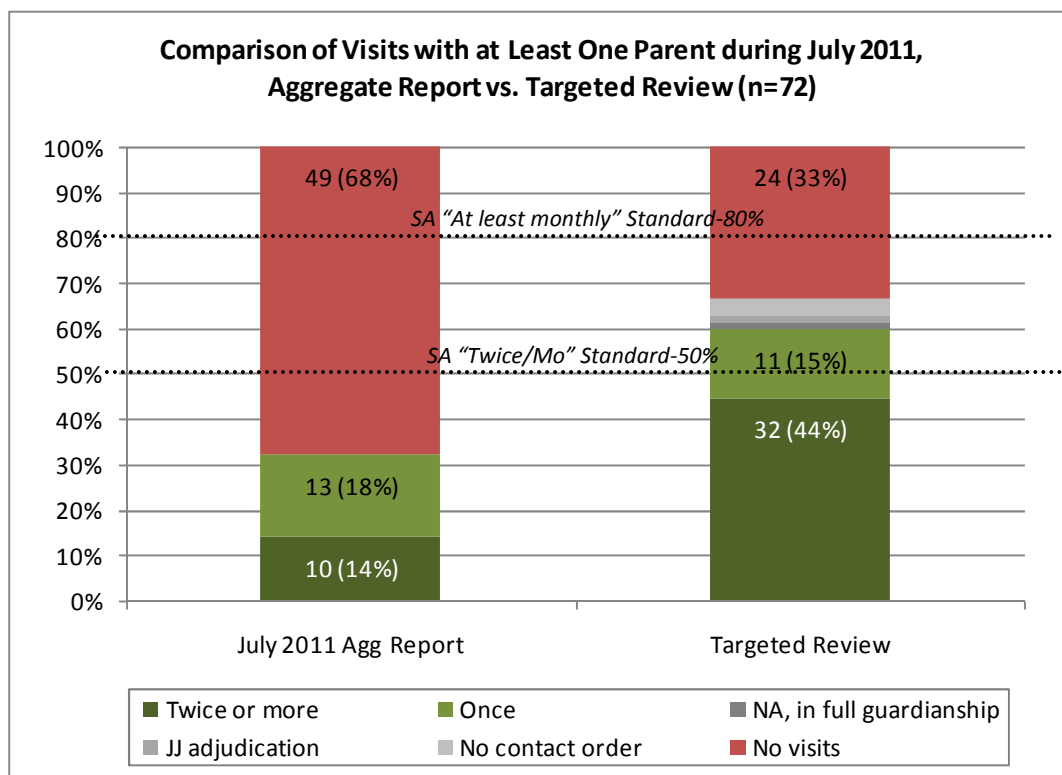
- Problems with documentation appear to be the primary factor resulting in the Department's failure to meet the requirement that 50% of children visit with their parents at least twice per month. These problems appear to fall into two distinct categories (and each appears to account for about half of the documentation problems):
  - The lack of a clear process for entering visits into TFACTS that are not arranged or facilitated by DCS or provider staff, and
  - Visits not captured by aggregate reporting because they are incorrectly entered into TFACTS.
- Between 10% and 20% of cases each month fall into one of three exception categories, two of which are specifically allowed under the Settlement Agreement:
  - No contact order against the mother and all fathers (specifically allowed under the Settlement Agreement),
  - Child refused to visit with mother and all fathers (specifically allowed under the Settlement Agreement), and
  - Mother and all fathers live out of state, and it therefore seems reasonable that the twice per month standard would be modified for these cases.
- For the 25% to 30% of cases each month in which no visits occur and which do not fall into one of the three exception categories previously described, there are various reasons why visits did not occur. While it is not possible to precisely allocate responsibility for the failure to visit, in some cases it was clearly primarily a failure on the part of the parents, in some cases clearly primarily a failure on the part of the Department, and in other cases, a combination of the two. We attempted to group these cases into categories that are discussed in the observations section below.
- The frequency and quality of visits is the result of the interaction between system factors (such as the quality of practice and engagement skills of the FSW or provider case manager) and parent factors (such as motivation, resourcefulness, and availability of informal support). For this reason, the frequency of parent-child visits is not a direct measure of the quality of case practice in a given case. Many of the concerns identified during the review about engagement and the approach to working with parents were from cases that met or exceeded the twice per monthly visit requirement. Similarly, some examples of excellent engagement and family-centered practice were found in cases not meeting the Settlement Agreement visit standards.



## Detailed Review Findings

### Visit Frequency

The following figure compares the frequency of visits for the 72 children included in the sample for the targeted review who were also included on the July 2011 Parent-Child Visits aggregate report.<sup>1</sup>

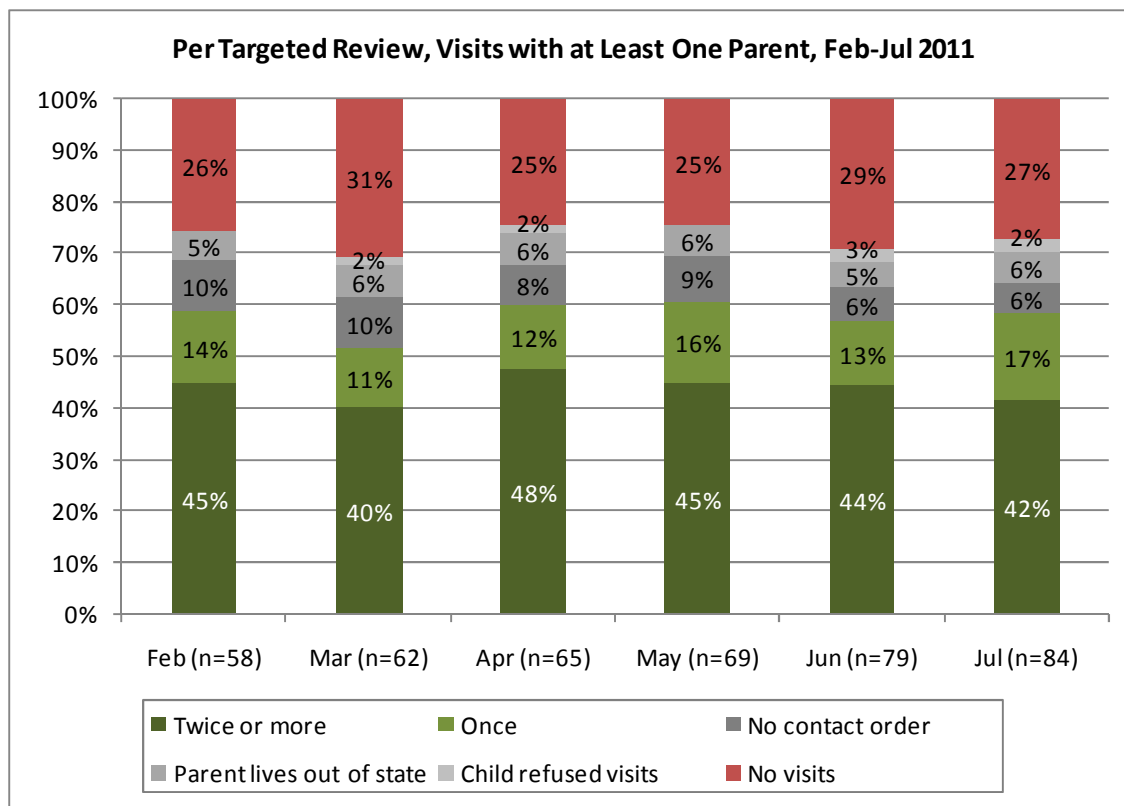


<sup>1</sup> There are three reasons that children in the sample were not included on the July 2011 aggregate report:

- The July 2011 aggregate report was run on October 7, 2011 (which is later than these reports are typically run), allowing three additional months for circumstances to change and TFACTS data to be updated. In addition, the report used the child's status as of October 7, 2011 to determine whether or not to include the child rather than checking the child's status at the end of July. Circumstances had changed for 11 sample children as of the date the report was run so that they no longer met the criteria for inclusion on the report (see the report exclusion criteria on page 1 above). The July 28, 2011 Mega Report from which the sample was pulled incorrectly reflected reunification goals for 2 additional children (neither of these children had a reunification goal at any time during the six-month review period); neither child was included on the July 2011 aggregate visit report, suggesting the data inaccuracies in the children's permanency goals records in TFACTS had been corrected by October 7, 2011 when the aggregate visits report was run.
- The remaining 9 children did not meet the aggregate report requirements according to the July 2011 Mega Report: their permanency goals on the Mega Report were either sole non-custody goals or were blank. We included them in the sample nonetheless because they were new entries into custody, and we hypothesized that they were likely to be assigned reunification goals during the review period. This hypothesis turned out to be correct for these 9 cases. (There were an additional 2 cases in the original sample with sole non-custody or blank goals that were replaced in the final review sample because it turned out they had never been assigned a reunification goal during the current custody episode).

The percentage of children who visited with at least one parent twice or more during July according to the review (44%) is more than triple the percentage reflected in the aggregate reporting for July (14%). For about half of the 32 children visiting twice or more per month whose visits were not being captured by the aggregate report, the visits were not routinely being entered into TFACTS because they were being arranged between the parent and the resource parent—without the involvement of the FSW or private provider case manager—and they were either unsupervised or the resource parent (or someone other than the FSW or provider case manager) was supervising the visits. It appears that because the visits were being arranged without the direct involvement of the FSW or private provider case manager, who have responsibility for entering these visits into TFACTS, the visits were not routinely being entered. For the other half of the cases, as discussed further below, there were problems with the way in which the visits were entered into TFACTS that resulted in the visits not being counted by the aggregate report.

The figure below presents the visit frequency found in the targeted review for the applicable children in the review sample<sup>2</sup> during each month of the six-month review period.



<sup>2</sup> During each month of our review period, some number of children in the sample didn't meet the requirements for inclusion in the aggregate report as listed on page 1 above, and they are therefore excluded from the data for any month during which they did not meet the requirements. All but three children in the sample met the aggregate report requirements during at least one month of the review period. One of these three children had a delinquent adjudication throughout the review period and the other two children did not have reunification goals during the review period, but these circumstances were not accurately reflected on the July 28, 2011 Mega Report.

As shown in the figure, the review found that between 40% and 48% of children visited with at least one parent twice or more during each month of the six-month review period. This is more than double (and in some cases, almost three times) the percentage reflected in current TFACTS aggregate reporting, and it is significantly higher than the percentage reflected in previous aggregate reporting from TNKids.

The review also found that there was a no contact order against the mother and all fathers for an additional 6% to 10% of children during each month of the review period. In some months, the child refused to visit with all parents in an additional 2-3% of cases.

For between 5% and 6% of cases each month, the mother and all fathers lived out of state. While this is not an exception allowed under the Settlement Agreement, it seems reasonable that the twice per month standard would be modified for cases in which there is a significant distance between the child and parents that is not the result of a DCS placement decision, such as a circumstance in which a parent resides out of state. It might be possible, should it be deemed appropriate, to flag these cases for aggregate reporting purposes using data already available in TFACTS.

#### *Aggregate Reporting*

There is some percentage of population error in the aggregate report each month resulting from delays in updating TFACTS data. Some children are included who do not actually meet the report requirements, and some children are excluded who do meet the report requirements. For example, two children were included in the July 2011 aggregate report who did not meet the report requirements (one child's adjudication appeared as dependent/neglect even though he was adjudicated delinquent, and there was no guardianship or termination of parental rights information for the second child even though she entered full guardianship during March 2011). Twenty-one children in the targeted review sample were excluded from the July aggregate report for a variety of reasons (including reunification goals that were not accurately reflected in TFACTS and children who had left custody, begun THV, or entered full guardianship by the aggregate report run date). This is not an estimate of the typical population error in the aggregate report because the methodology for the July 2011 aggregate report deviated somewhat from the usual routine.

There is also some percentage of error related to the entry of visits into TFACTS. As discussed above on page 4 above, the aggregate report under-reported visits that were occurring in a significant number of cases because the visits were not entered into TFACTS at all or were entered incorrectly and therefore not counted by the aggregate report. There were also some instances in which the aggregate report over reported visits (though this did not occur as frequently as under reporting of visits). In four cases, other types of contacts or events were documented incorrectly as parent-child visits and therefore counted by the aggregate report as Parent-Child Visits. The same visit was counted multiple times by the aggregate report in 12 cases because the visit was entered multiple times into TFACTS, either because the same entry was duplicated (or sometimes copied three or four times) for some reason or because both the DCS case manager and the private provider case manager entered the same visit separately.

There has also been a recent change to the report methodology to accommodate a technological issue. The Department may wish to reassess this change in the report methodology in the future when the relevant technological issues have been resolved. Since the transition to reporting from TFACTS, the aggregate report no longer requires that the parent be identified in the “participants” field of the case recording in order for the contact to be counted as a parent-child visit. This change was made because in order to include this requirement, the report had to check the “relationships” field to determine whether any of the people entered into the “participants” field had a relationship to the child of birth mother, birth father, or legal father. This process of referencing the “relationships” field either slowed the production of the aggregate report to several days or stalled production completely. For this reason, the Department decided to eliminate that requirement from the aggregate report methodology. While adding this requirement would make it more difficult to inadvertently enter a visit that did not occur in the way required to be counted by the aggregate report (thus improving data accuracy), it also complicates data entry (thus potentially contributing to data inaccuracy).

### **Recommendations:**

- Data entry improvements (for regional and private provider staff), which should raise the percentage of children visiting twice per month in the aggregate report to close to the Settlement Agreement standard:
  - Focus on capturing visits that are not being supervised by case managers or provider staff (including development of clear expectations and procedures for documentation in these situations)
  - Continue to work on improving entry of visits by DCS and private provider staff (requirements are “Parent-Child Visit” Contact Type; “Face-to-Face” Contact Method; the child must be included in participants; and the case recording must be entered prior to the aggregate report run date)
- Explore ways to improve visits for cases in which visits are not occurring (see observations below)
- Potential TFACTS reporting modifications (these may or may not be practical given the problems that linking to the relationship was causing with the report run time):
  - Flag or exclude from the aggregate report children for whom all parents have no contact orders
  - Consider connecting to parent’s current address to flag or exclude children whose parents all live out of state
  - Ensure that the aggregate report includes or excludes children from the report population based on their status at some point during the reporting period, not as of the report run date
  - Consider changes to the report methodology so that it only counts one visit per day (while this would address the problem with over reporting of visits caused by duplicate entry of contacts, it would result in under reporting in situations in which a child visited with both parents separately in one day)

## Observations

- The mechanism used by the aggregate report for identifying children who should be visiting with their parents—sole or concurrent reunification goal—provides a reasonable approximation of this population, but it is not completely accurate for two reasons:
  - Return to parent is often the assigned goal at the beginning of the case for legal reasons (establishing reasonable efforts) even if it's not a realistic goal. Of the 91 cases we reviewed, return to parent did not appear to be the working goal in 17 cases (19%, or almost 1/5 of the cases reviewed). In about half of these cases (9), the child was removed from non-parent caregivers, and the actual goal was to be returned to the non-parent caregivers' custody. We found documentation in 19 cases (21%) that neither parent had been the child's primary caregiver for a significant period of time prior to custody.
  - Case progress must also be taken into account, because the parent's consistency in visiting with the child is an important consideration in the decision to change the permanency goal, particularly to adoption. Lack of visits for a given period is considered grounds for TPR. Fifteen (16%) of the 91 cases reviewed had been open at least 15 months at the beginning of our review period.
- There is a need to explore in more depth the expectations for working with birth parents:
  - The Department's Practice Model, as articulated in the QSR Protocol, calls for engaging families in a "trust-based, mutually-beneficial helping relationship...Collaborative and open casework relationships foster an atmosphere of trust, demonstrate case manager competence and empathy, communicate a belief in family strengths and resiliency and support honest and timely assessment of progress." Developing a trust-based helping relationship with parents requires the worker to use a nurturing, accepting approach (Janzen, Harris, Jordan, and Franklin, 2006).<sup>3</sup> Yet the visit requirements in several cases (requiring parents to call 24 hrs prior to visit to confirm, canceling the visit if the parent is more than 15 minutes late, requiring parents in poverty to provide for children's needs during visits (and beyond that, requiring these parents to pay child support while their children are in custody), requiring parents to provide their own transportation, and scheduling visits based on the case manager's, private provider's, or resource parent's convenience) reflect concerns about fostering dependency with parents and enabling their destructive behaviors. Such requirements also suggest that workers prioritize these concerns above the need to maintain and strengthen the bond between parents and children.

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<sup>3</sup> Janzen, C., Harris, O., Jordan, C., & Franklin, C. (2006). *Family treatment: Evidence-based practice with at-risk populations*. Belmont: Thomson Brooks/Cole. Chapter 9: Child abuse and other family violence.

- At least in some instances, it is clear that frontline staff are not equipped to effectively engage parents with significant addiction issues, mental health problems, or parents who are resistant to the Department for other reasons. Many families come in contact with the Department because of substance abuse issues, and people dealing with substance abuse or dependence are extremely difficult to engage in the change process. Substance abuse-related behaviors appear to be a significant factor when visits are not occurring regularly, but it doesn't appear that frontline staff are equipped to deal with this problem through specialized training (such as, for example, in Motivational Interviewing). In some cases, there is a requirement that the parent be drug-tested prior to each visit, which on one hand helps the Department monitor the parent's progress toward sobriety, but on the other, likely discourages the drug abusing parent from visiting. In one case, this arrangement seemed to help the parent, but the FSW had worked very hard to build a trusting and supportive relationship with this parent, and it seemed that the parent viewed the drug tests as an additional accountability to help her recovery. We did not find any cases in which a positive drug screen resulted in cancelation of a visit, but there were a few cases in which the visitation plan required that the parents pass a drug screen prior to each visit. There were also a few cases in which the Judge ordered that the parent was to have no contact with the child until he/she had passed two consecutive drug screens within a certain time period.
- There appears to be need for further clarification of what the Department expects of its case managers and attorneys in terms of visits with incarcerated parents. While sometimes the failure to visit reflects the preference of the parent and/or child to visiting in a correctional setting, often the failure to visit is a result of restrictive practices or policies of the jail or correctional institution and/or judicial attitudes. In those instances, it is not clear whether the Department expects attorneys and case managers to seek modifications in those practices, policies, or attitudes.
- Policy is unclear about exactly what qualifies as a visit. For example, does contact during a court hearing or CFTM count? In her follow-up response, one FSW indicated that they have been instructed to enter contact during court hearings and CFTMs as visits.

The appendix contains case examples illustrating some of these observations as well as examples of good practice or concerns not directly related to parent-child visits.

## **APPENDIX I**

### **Summary of 2011 Sibling Visits Review Findings, October 1, 2011**



# Summary of 2011 Sibling Visits Review Findings

## October 1, 2011

### Methodology

#### Review Population for Sampling

The sample for this review was pulled from an April 2010 TNKids automated report (referred to as the “siblings placed together report”) which provided, among other information, a detailed listing of all sibling groups not placed together on April 1, 2010.<sup>1</sup> This is a different approach than was used for our previous review, in which we pulled the sample from the detailed listing of sibling groups not visiting each month (from the “sibling visits aggregate report”) and thereby excluded from our review siblings who (according to the aggregate data) visit regularly.

We changed the population for this review in order to also include siblings who appear to be visiting regularly according to the aggregate data for two reasons. First, we wanted to examine the possibility that data entry errors resulted in over reporting of visits in the aggregate data. Second, we wanted to be able to compare the findings of our case review with the aggregate data.

#### Review sample

There were 202 separated sibling groups on the April 1, 2010 report. We pulled a random sample, stratified by region, at a confidence level of 95% and a confidence interval of +/-10, resulting in a sample size of 65 cases. As we began reviewing cases, we realized that some of the separated sibling groups had been reunited or had exited custody during our six-month review period. We decided to replace any cases in which all siblings were reunited or all (or all but one) of the siblings exited custody during the first four months of our review period. We replaced the cases by randomly selecting another case from that region. Of the 65 cases originally pulled for the sample, 16 cases had to be replaced because, as a result of the siblings having been reunited or exiting custody during the review period, the observation period for sibling visits was less than four months during our review period. There were another five cases in the original sample of 65 separated sibling groups for which sibling visits were not applicable during the review period because the siblings were not, in fact, separated during the review period. We did not replace these five cases because they represent a source of error in the aggregate reporting. They are included or excluded in the analyses presented below according to the purpose of each analysis.

Table 1 below displays the breakdown of the 65 sibling groups in the final sample by the size of the sibling group. Forty-five percent of the sibling groups consisted of only two siblings, and relatively small sibling groups (two or three) made up 70% of the review group. Of the remaining sibling groups, half (15%) were sibling groups of four and half (15%) were sibling groups of five or more.

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<sup>1</sup> We used the April 1, 2010 report because it is the last report available in TNKids prior to the TFACTS transition that contained complete data for all of the regions (the Mid-Cumberland Region began the TFACTS pilot in June 2010).

**Table 1: Size Distribution of Sibling Groups in Review Sample**

Sibling Group Size	Number of Sibling Groups in Sample
2	29
3	16
4	10
5	7
6	2
7	1

*Review Period and Process*

We reviewed TFACTS documentation (including case recordings, placement screens, legal histories, the Family Functional Assessment, if available, and permanency plans) for information about sibling visits for the six-month period from April 1, 2010 through September 30, 2010. We also collected information about the reasons for sibling separation. We then sent requests for follow-up to the regions for any cases in which visits occurred less than monthly between the siblings and for any cases in which documentation seemed to suggest (but was not clear) that there was some allowable exception to the sibling visit requirement (such as a therapist recommendation, based on a child's mental health needs, to limit sibling visits).

**Review Findings**

*Key Findings*

- The most common reasons for sibling separation were: the need of one or more siblings for a higher level of care; aggression or physical abuse between siblings; sexual reactivity or perpetration between siblings; and the behavior issues of one or more siblings.
- In 28% of the cases reviewed, at least some of the separated siblings were reunited in out-of-home placement at some point during their custody episode.
- In between a third and a half of cases reviewed, in any given month during the six-month review period, sibling visits were "not applicable" for some or all siblings (either because of an applicable exception to the sibling visit requirement or because the siblings were never actually separated during the review period).
- When cases in which visits that were "not applicable" are excluded, some siblings (at least two) visited once or more during a given month in the review period in 84% (in May and June) to 89% (in September) of cases reviewed.
- Some siblings (at least two) visited at least monthly over the six-month review period in 84% of cases.

- When cases in which visits that were “not applicable” are excluded, all siblings visited once or more during a given month in the review period in 74% (in May) to 80% (in April) of cases reviewed.
- In 71% of the cases, all siblings visited at least monthly over the six-month review period.
- Data entry errors in the cases reviewed included both instances in which a contact/activity was misdesignated as a sibling visit (and improperly counted as a visit in the aggregate report) and instances in which a sibling visit in fact occurred but was not properly designated (and therefore not counted in the aggregate report). Because the aggregate report therefore appears to both under report sibling visits in some cases and over report sibling visits in others (but not to a significantly greater degree one way than the other), it appears that the data entry errors do not affect the overall accuracy of the aggregate data on the frequency of sibling visits.

#### Additional Significant Observations

- The importance that children in foster care place on being able to visit and otherwise maintain contact with siblings from whom they are separated was underscored by this review. Reviewers noted that even in many of those cases that met or exceeded the minimum monthly visit requirement of the Settlement Agreement, case file notations nonetheless indicated that the siblings commented frequently how much they missed their siblings and wished they could see them more often.
- The cases with the best sibling visit practice were the cases in which the siblings were put into situations that facilitated frequent visits. When people in the children’s daily lives (e.g., relatives or resource parents) understood the importance of sibling visits and took responsibility for ensuring that they happened regularly, visits were usually very frequent, particularly when the siblings’ caregivers also had a relationship with one another. In some cases, arrangements were made for the siblings to attend the same daycare, school, or summer camps or to participate in the same extra curricular activities (such as sports leagues). Visits in these “best practice” cases were also likely to occur in natural and comfortable locations, such as a family home, a sibling’s resource home, or a community space rather than in a DCS office.
- Given the workload of the FSWs, cases in which it was the FSW’s responsibility to facilitate visits each month appeared much less likely to provide the quality and frequency of sibling visitation needed to maintain and strengthen the sibling relationship.
- For cases in which there was a significant distance (sometimes several hundred miles) between the siblings’ placements (a barrier found in several cases reviewed), extraordinary efforts were required of team members to achieve even the minimum visit standard.

#### Detailed Findings

Findings from the review are presented below in four subsections: reasons for sibling separation, visits between at least some (two or more) separated siblings,<sup>2</sup> visits between all siblings, and comparison to aggregate data.

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<sup>2</sup> As reflected in the Methodology Section above, 36 of the 65 sibling groups reviewed (or 55%) were made up of three or more siblings. This distinction between visits involving “some” siblings and visits involving “all” siblings is intended to account for visit practice with sibling groups of three or more for which visits occurred that did not involve all of the separated siblings. This distinction is also important for comparison with the aggregate data because the aggregate report simply counts any visit involving

## *I. Reasons for sibling separation*

Collecting information on the reasons for sibling separation was a complicated process for many reasons. Many of the siblings had been separated prior to our six-month review period (and in some cases, several years prior to our review period), and the siblings in some larger sibling groups had been separated and reunited multiple times in different combinations. Also, in the majority of cases, there was more than one reason for a decision to separate the siblings. For purposes of this review, we collected whatever information was provided in the record for every separation of siblings throughout their current custody episode, and we followed up with the regions for additional information regarding sibling separation for cases in which we could not locate any information in the file. We then grouped the reasons identified into categories. Table 2 shows the number of sibling groups for which each category applied to one or more of the sibling separations occurring during the current custody episode. The categories are not mutually exclusive because multiple categories often applied for any one decision to separate siblings, and as noted above, many cases contained more than one instance of sibling separation.

**Table 2: Categories of Reasons for Sibling Separation**

<b>Reason</b>	<b>Number of Sibling Groups</b>
Special treatment needs of one or more siblings (higher level of care)	19
Aggression or physical abuse between siblings	17
Sexual reactivity or perpetration between siblings	15
Behavior issues of one or more siblings	15
One or more siblings placed with relatives/different relatives	10
Request of the resource parent	9
Request of one or more siblings	8
Lack of resource homes willing to take large sibling groups or willing to take these particular siblings	4
One or more siblings moved to THV	4
Therapist recommended separation of siblings	3
Resource parent for siblings already in custody could not take sibling(s) entering custody	3
Separated as result of thoughtful pre-adoptive placement	2
Emergency removal for SIU investigation	2
Quality of siblings' relationship unknown at time of custody (had not seen each other for at least two years)	1

As shown in the table, four categories applied to 15 or more cases in the sample: “special treatment needs of one or more siblings,” “aggression or physical abuse between siblings,” “sexual reactivity or perpetration among siblings,” and

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two or more separated siblings; it does not take into account the total number of separated siblings who should be visiting (see subsection IV below).

“behavior issues of one or more siblings.” The “special treatment needs” category comprises a wide range of “treatment” needs, from placement in a more restrictive setting (including congregate care, residential facilities, and hospitals) to family-setting placements providing a higher level of care. Although there is wide variation in the “treatment” needs for this group, in each case the file reflected a decision to separate the siblings because one or more siblings would receive needed services in another placement. This is not intended to suggest that the sibling separation was necessary in all of these cases (particularly for siblings who were separated for a higher placement level but not for a particular specialized service such as alcohol and drug treatment) because the files often lacked documentation of the reason that the needed services could not be provided in the current placement or the reason that the other siblings did not also move to the placement providing the higher service level.

We created the “behavior issues” category to capture those cases in which the decision to separate siblings was related to the behavior of one or more siblings, but the behavior was not clearly physically or sexually aggressive toward other siblings and there was no indication that the intent of the move was for the sibling(s) to receive a higher level of care. There is considerable overlap for these two categories (“special treatment needs” and “behavior issues”) with the “request of the resource parent” category because for cases in which either of these two categories applied, the resource parent often also requested the removal of the sibling(s).

Included in the “one or more siblings moved to THV” category are two cases in which the siblings were never separated while in out-of-home placement—that is, they were placed together throughout their time in custody and were only separated when one sibling went on THV while the other sibling(s) remained in placement.<sup>3</sup> These two cases are therefore quite different from the other cases of separated siblings in the review because, while these siblings did experience the trauma of out-of-home placement, they remained together for the duration of out-of-home placement up until the time of the THV.

Three cases contained documentation that a therapist had recommended that the siblings be separated. The siblings in these cases did not have physically or sexually aggressive behaviors toward one another, but the behaviors of one or more siblings were sufficiently disruptive that their therapists were consulted about whether separation of the siblings would be in their best interest. (The reason for separation in all three of these cases was also categorized as “behavior issues.”)

Finally, there were two cases in which the siblings were separated as part of a thoughtful pre-adoptive placement. In one case, the sibling moved from a resource home where she was placed with one sibling to a pre-adoptive placement with another sibling. In the other case, the boys were removed from the resource home with their sisters and placed for adoption with the daughter of the resource parent (who was also a resource parent). All of the siblings were adopted by these two related resource families and continued to see one another regularly (more than weekly) because they remained part of the same extended family.

Of the 60 cases of siblings who were actually separated during the review period, at least some of the separated siblings were reunited in out-of-home placement at some point during their custody episode in 17 cases (28%).

## *II. Visits between at least **SOME** (two or more) separated siblings*

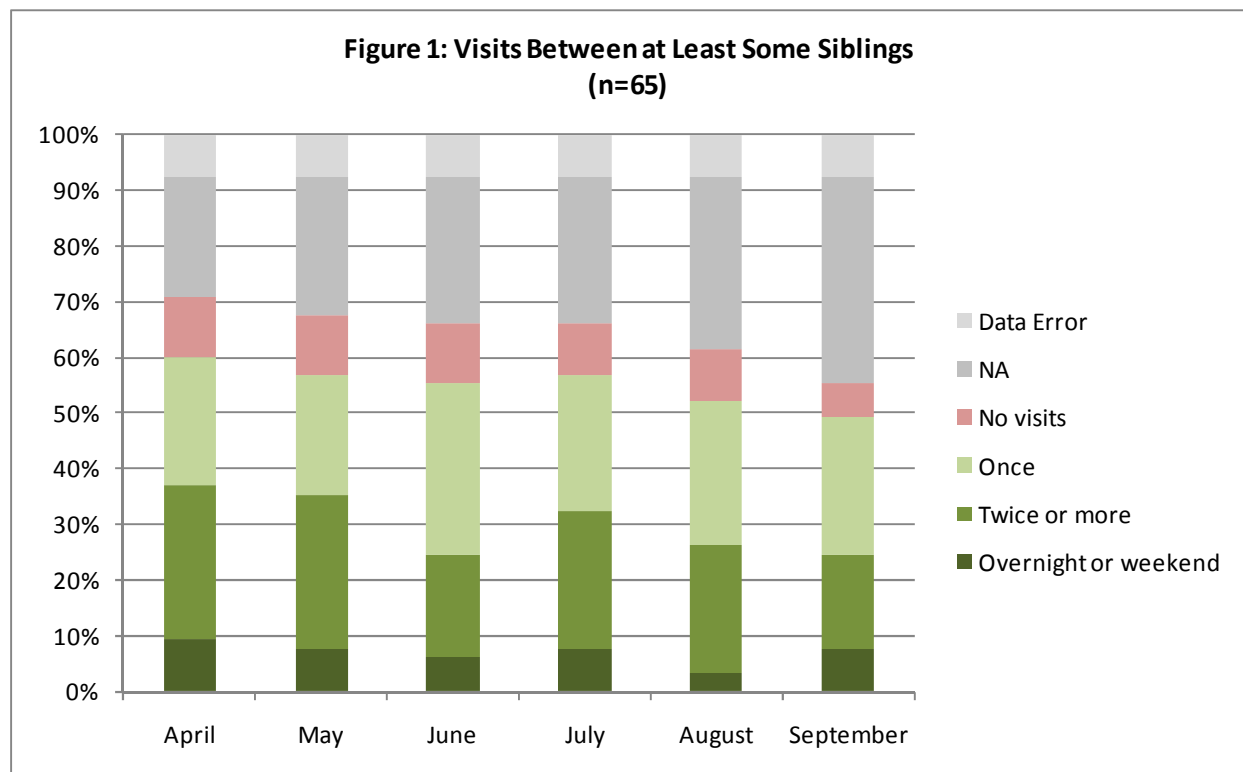
Figure 1 below represents our best approximation of “actual” visits involving at least some siblings (two or more) based on our review of the file and follow up information from the regions. In some cases, very few visits were actually

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<sup>3</sup> In both of these cases, the sibling went on THV to his/her paternal family to whom the other sibling(s) were not related.

documented as “sibling visits” in TFACTS, but other documentation suggested visits occurred regularly (such as frequent references to weekend visits with family, etc.). When the region was able to verify through follow-up that these regular visits did occur, we incorporated that information into our data. However, in some cases, the region was unable to say with certainty that these visits occurred, so we did not give credit for them; however, it appears likely that actual visit practice is at least a little more frequent than reflected in our data.

We created a separate “weekend or overnight” category to capture cases in which there was at least one overnight visit during the month. If only one visit occurred but took place over two days or more, we felt it would be misleading to categorize that visit with other visits occurring once per month that lasted a few hours at most. Figures and data showing visit frequency without accounting for duration of the visit are included in the Appendix.



As reflected in Figure 1, each month a large percentage (between 29% and 45%) of sibling groups in the sample fell into either the “Data Error” or the “NA” categories,<sup>4</sup> and each month only a small percentage of sibling groups (11% or less) did not have any visits involving at least two of the siblings.

<sup>4</sup>There are five cases included in the “Data Error” category. These five cases were included in the detail listing of separated siblings from which we pulled our sample, but the siblings were not, in fact, separated on the date of the report. Four of the sibling groups were placed together on the report date (in two cases a sibling was temporarily hospitalized (less than 30 days) on the report date; in one case there was a significant delay in updating the placement screen for one sibling; and it’s unclear why the fourth sibling group appeared on the report). In the fifth case, the siblings had exited custody prior to the report date.

The “NA” category includes cases in which sibling visits were not applicable during the month for several reasons: 1) Because of a runaway (one sibling in a sibling group of two is on runaway for most/all of the month; the only sibling placed separately in a larger sibling group is on runaway for most/all of the month); 2) Because the siblings were reunited in placement; 3) Because all of the siblings (or all but one) exited custody; or 4) Because the case meets one of the four exceptions to the sibling visit requirement allowed by the Settlement. Those exceptions are as follows: 1) There is a court order limiting or prohibiting visits; 2) Visits have

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Figure 2 presents the same data regarding “actual” visits between some siblings (at least two) each month but excludes the “Data Error” and “NA” categories. Of the sibling groups for whom visits were applicable each month, the percentage having at least one visit involving at least two siblings during the month ranged from 84% to 89%.

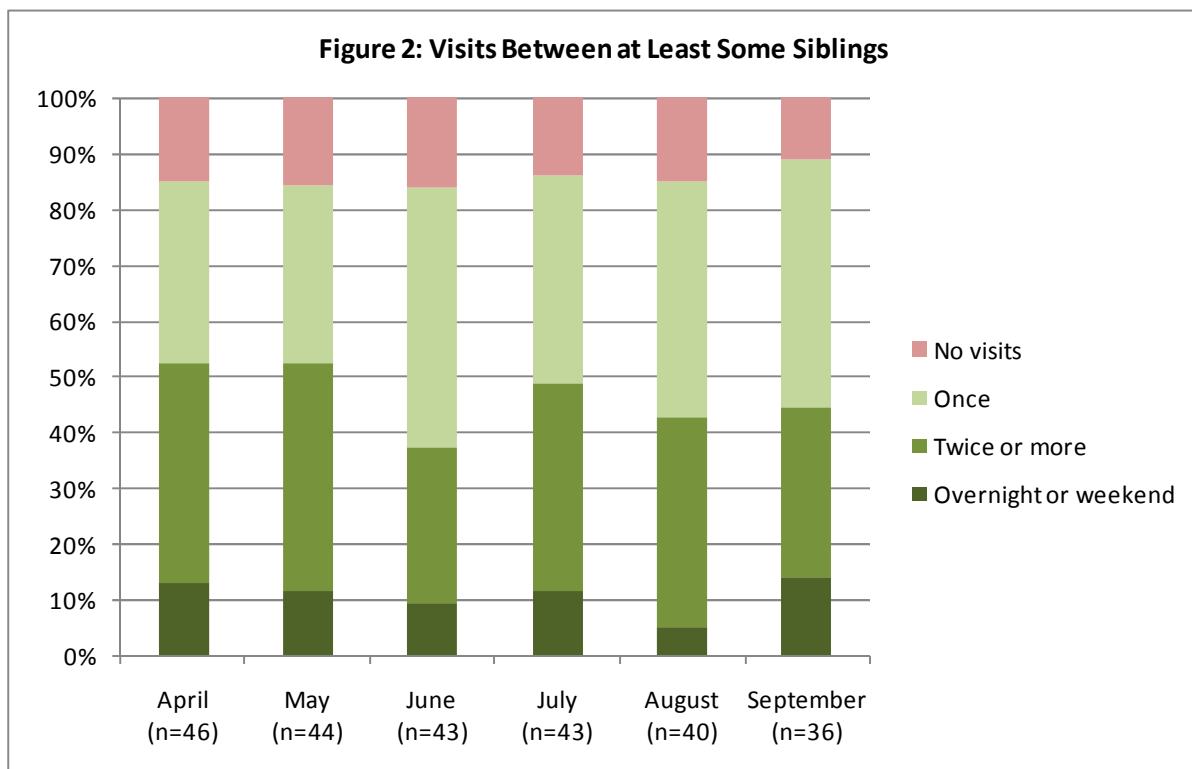
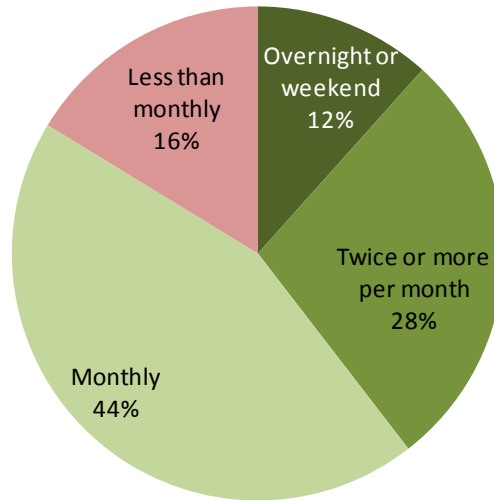


Figure 3 shows the overall pattern of frequency of visits between at least some siblings during the six-month review period for the 43 cases for which sibling visits were applicable for some siblings (at least two) for the majority of the review period.<sup>5</sup> In order to categorize the cases into an “overall pattern,” we identified the dominant frequency during the six-month period. If, for example, some siblings visited once per month for five of the six months, the case was included in the “monthly” category. If a visit in more than one month was missed, however, that case was included in the “less than monthly” category. A detail listing of each case and its monthly and overall categorizations is included in the Appendix. Sixteen percent (16%) of the sibling groups reviewed had a visit involving at least some separated siblings less than once per month during the review period.

been determined to not be in the best interest of the siblings; 3) The siblings do not wish to visit; and 4) The separated sibling (or siblings) is placed out of state in an ICPC placement. The number of children in the “NA” category changed slightly from month to month as children ran away or returned from runaway, exited custody, were reunited in placement, or changed their minds about visiting their siblings, and as no contact orders and recommendations were added or lifted.

<sup>5</sup> In 22 cases, visits were not applicable for at least two siblings for the majority of the review period for the following reasons: The siblings did not wish to visit (7 cases); there was a court order prohibiting visitation (1 case); there was a recommendation from the therapist that visits were not in the siblings’ best interest (6 cases); one sibling (in a sibling group of two) was on runaway (2 cases); one sibling (in a sibling group of two) was placed on ICPC in Colorado (1 case); the siblings were not separated but appeared on the report because of a “data error” (5 cases).

**Figure 3: Overall Pattern of Visits Between at Least Some Siblings During 6-Month Review Period (n=43)**

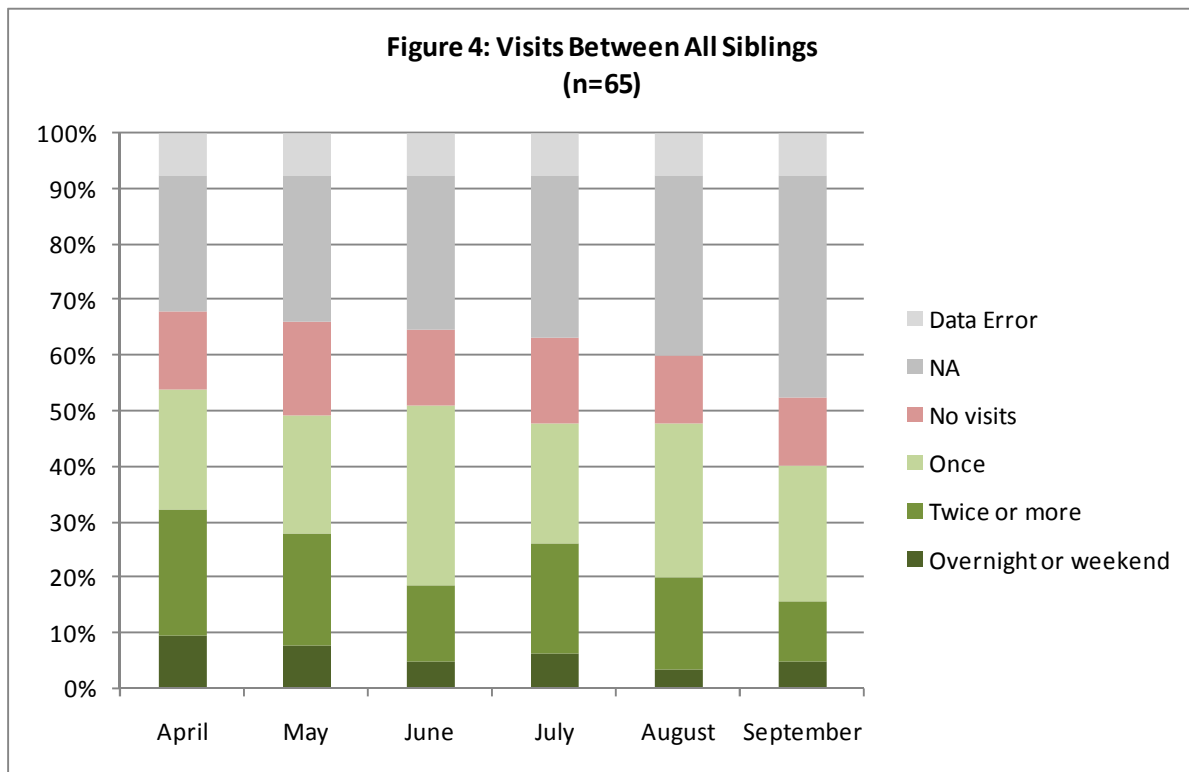


### *III. Visits between **ALL** siblings*

Figures 4, 5, and 6 below present the same analyses for visits between ALL separated siblings during the review period as presented in Figures 1-3 above for visits between SOME separated siblings. Once again, this is our best approximation of actual visit practice based on the information in the file and follow-up information from the regions.

As shown in Figure 4, if sibling visits are only deemed to have met the monthly standard if all of the separated siblings visit with each other, a somewhat larger percentage of separated sibling groups in any given month did not meet the monthly visit requirement, ranging from 12% to 17%, depending on the specific month.





When the “Data Error” and “NA” categories are excluded, the percentage of sibling groups having at least one visit each month including all separated siblings ranged from 74% to 80%, as shown in Figure 5.

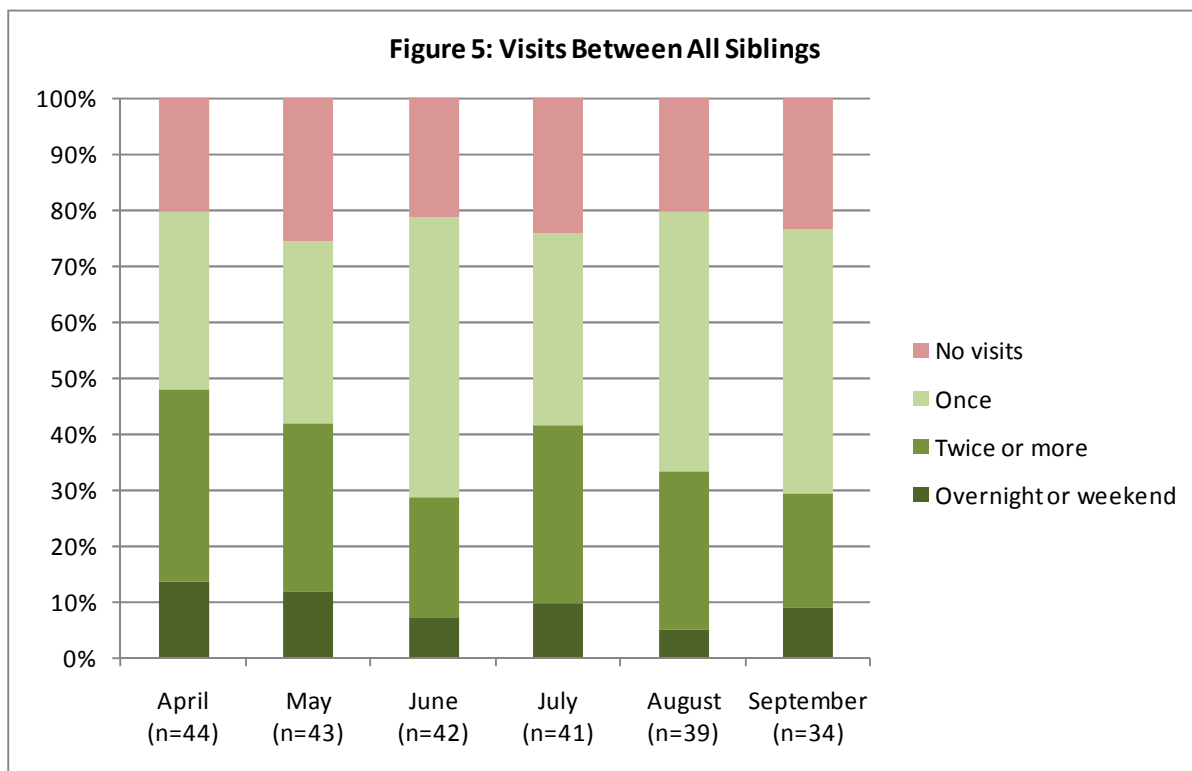
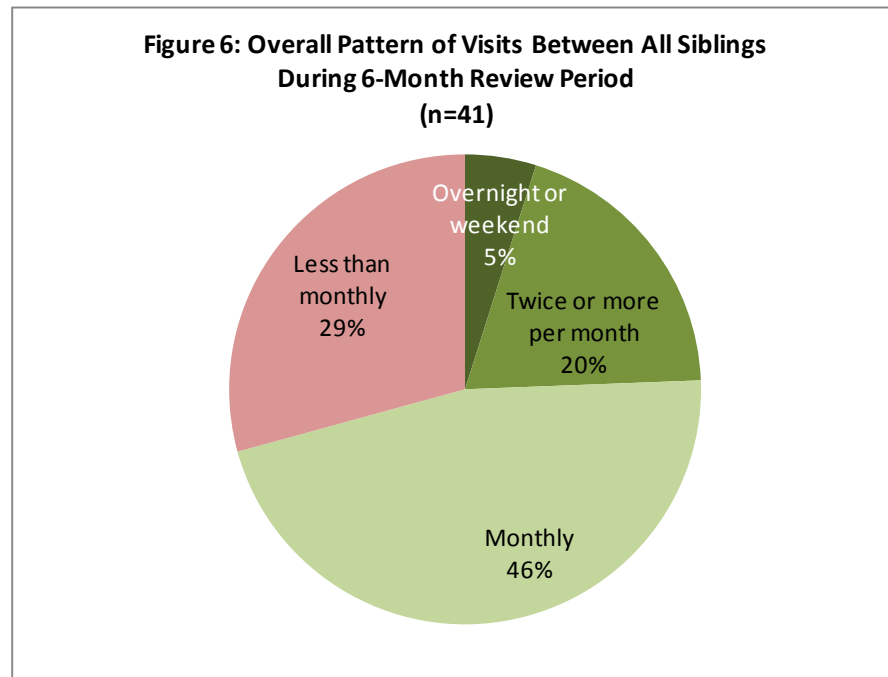


Figure 6 shows the overall pattern of frequency of visits involving all separated siblings for the 41 cases for which sibling visits between all siblings were applicable for the majority of the review period.<sup>6</sup> More than a quarter of the sibling groups reviewed had visits involving all separated siblings less than once per month during the six-month review period. Again, a detail listing of each case and its monthly and overall categorizations is included in the Appendix.



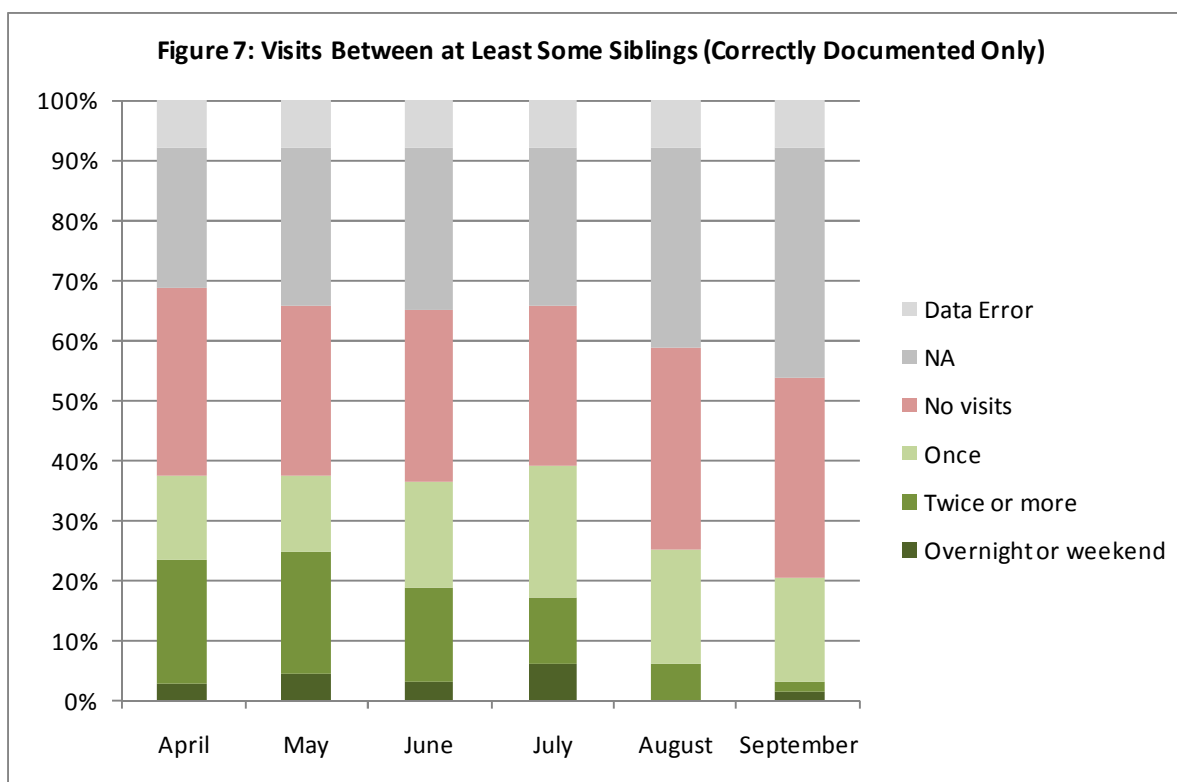
#### IV. Comparison to aggregate data

In the following section we attempt to compare the findings from our review with the aggregate data in order to comment on the accuracy of the aggregate data. It is important to understand the differences in methodology between our review and the way in which the aggregate data is pulled. For our review, we pulled a sample from a list of sibling groups separated on April 1, 2010 and followed their visits going forward. The aggregate report pulls sibling groups separated on a given date and looks back at visits occurring during prior months (in this summary, we compare our findings to the aggregate report that pulled sibling groups separated on June 1, 2010 and looked at visits occurring during March and April).

According to the March-April 2010 “Active *Brian A. Class* Sibling Groups Not Placed Together Visitation Summary Report” produced from TNKids (the last of these reports to be produced before the TFACTS pilot began), 47% of sibling groups separated on the report date (June 1, 2010) had visited at least once during each of the report months (March and April 2010). In order to be counted as a visit for purposes of the TNKids aggregate report, a “Family/Sibling Visitation – Face to Face” or “Family/Sibling Visitation – NOT Face to Face” contact had to be entered for that month with at least two of the siblings included in the “contact information.”

<sup>6</sup> In 24 cases, visits were not applicable for all siblings for the majority of the review period for the following reasons: The siblings did not wish to visit (7 cases); there was a court order prohibiting visitation (2 cases); there was a recommendation from the therapist that visits were not in the siblings’ best interest (7 cases); one sibling (in a sibling group of two) was on runaway (2 cases); one sibling (in a sibling group of two) was placed on ICPC in Colorado (1 case); the siblings were not separated but appeared on the report because of a “data error” (5 cases).

Figure 7 below shows the frequency of visits including at least two siblings identified in our review if **only** the visits are counted that were documented correctly in TFACTS so that they would have been pulled by the aggregate report.



During April 2010, 37% of sibling groups reviewed had at least one visit documented correctly during April. Our review did not include visits during March 2010, but if only sibling groups were counted who also had a visit documented during March 2010 (in order to be consistent with the aggregate report methodology), the percentage would certainly be even smaller. The difference between the higher percentage of visits reflected in the aggregate report and the lower percentage of visits found in our review is partially a reflection of data entry errors that result in the aggregate report counting visits that did not actually occur. (Examples include: a canceled visit being entered as a “Family/Sibling Visitation – Face to Face” with at least two siblings in the contact information; a contact between the FSW and two siblings placed together that is mistakenly entered as a “Family/Sibling Visitation – Face to Face” instead of a “CM/Child Contact.”<sup>7</sup>)

Of the 65 cases reviewed, there were 9 (14%) that contained at least one clear documentation error that would have resulted in the aggregate report counting a visit that did not actually occur (some of these cases contained multiple errors each month).<sup>8</sup> There were an additional 12 cases (22%) in which the same visit was documented multiple times (but correctly) so that the aggregate report would have counted the same visit multiple times for the sibling group, even

<sup>7</sup> This second example would be counted as a visit because the aggregate report pulls any “Family/Sibling Visitation” contact type where at least two siblings are included in the contact information, irrespective of whether the siblings in the contact information are placed together at the time of the visit or not.

<sup>8</sup> There were three additional cases that contained contacts that would have been counted as a visit by the aggregate report, but we were unable to tell whether or not a visit actually did occur. We did not include these three cases with the seven that had clear documentation errors.

though the visit only occurred once. This seems most likely to occur when more than one person documents the visit, typically both the FSW and the private provider.

Our review findings also suggest, however, that the aggregate report also under reports sibling visits that occur but are not documented correctly in TFACTS. While the aggregate report indicates that 47% of separated sibling groups visited at least once each month during a two-month period (March-April 2010), 55% (32) of the 60 separated sibling groups reviewed visited at least once each month during a two-month period (April-May 2010).<sup>9</sup> The over reporting of visits appears to be matched by a comparable volume of under reporting of visits, and in any event, the aggregate report provides an estimate of sibling visit frequency that is in the ballpark of actual visits that occurred as measured by our case review. While the aggregate report shows 47% of separated sibling groups visiting at least once per month during a two-month period, our review found 55% of separated sibling groups visiting at least once per month during a two-month period.

Our review findings suggest that the accuracy of the aggregate report could be improved by altering the methodology to take into account whether the siblings included in a “Family/Sibling Visitation” contact are separated or placed together to count only one visit for a sibling group for any given day. The Department has already taken steps intended to clarify the visit entry process by changing the contact types available in TFACTS.<sup>10</sup>

## Case Examples

### *Examples of excellent visit and case practice*

We found several examples of excellent practice regarding sibling visits as well as what appeared to be excellent case practice.

- We reviewed two cases in which the sibling group, although separated, was placed with resource parents who were related to one another. In these cases, the siblings saw each other frequently and participated in family gatherings and celebrations together. The siblings were adopted by the related resource families in one case, thus remaining part of the same adoptive family.<sup>11</sup>

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<sup>9</sup> Because we are attempting to compare our review findings, which correct errors in the aggregate reporting (including over reporting and under reporting of visits as well as inclusion of siblings who were not, in fact, separated), the five sibling groups who were not separated on the report date are excluded from this analysis.

<sup>10</sup> The new contact types are “Parent/Child Visit (with DCS worker),” “Parent/Child Visit (without DCS worker),” “Sibling Visit (with DCS worker),” “Sibling Visit (without DCS worker),” “Private Provider/Parent-Child Visit (with provider worker),” “Private Provider/Parent-Child Visit (without provider worker),” “Private Provider/Sibling Visit (with provider worker),” and “Private Provider/Sibling Visit (without provider worker).”

<sup>11</sup> In the case of the siblings who were adopted by the related resource families, the Department had planned earlier in the case to move some of the siblings, who were distributed among three related resource families, to different resource homes based on their level of care. However, other team members (including their mother) disagreed with this plan because they wanted the siblings to continue to see one another frequently. The file indicates that ultimately, DCS “lost on appeal” and the siblings remained in the related resource homes where they were ultimately adopted.

- In several cases, the siblings visited one another as part of regular visits with their parents (in some cases as often as weekly). In some of these cases, as the case progressed toward reunification, the siblings would spend most weekends together at their parents' home.
- We reviewed several cases in which the separated siblings were separated into different relatives' homes. The siblings in these cases saw each other frequently; in one case, it appears they all stayed with the same aunt every day after school.
- In some cases (even some in which visits did not occur regularly), TFACTS documentation reflects recognition of the importance of maintaining the sibling bond through visits and efforts to overcome obstacles to visits.
  - In one case, the Department was also clearly focused on maintaining contact between the siblings long-term after adoption, and the Department was praised by the judge for this.
  - In another case, the FSW worked hard to maintain the siblings' relationship in spite of serious issues between them by continually encouraging contact and seeking therapy for the siblings to help work through their issues.
  - The siblings in another case did not want contact, but both the Department and the provider were focused on helping reconnect them.
  - In another case, the Department began working to re-establish a relationship between a child and his siblings who were adopted when the no contact order that had been in place between them was lifted after the adoption.
  - In another case in which one sibling's potential adoptive parents tried to circumvent visits because they felt the child's sister was a bad influence, the Department worked to help the potential adoptive parents understand the importance of maintaining the sibling connection. Unfortunately, the sibling's potential adoptive parents continued to view the sister as a bad influence, and the child ultimately had to choose between being adopted by this family and maintaining contact with his sister.
  - A CFTM was scheduled in one case when the FSW realized that one of the resource parents had not been following through with the sibling visit arrangements (the siblings had not visited at all during May). The problem was worked out through the CFTM, and regular visits resumed for the remainder of the review period.
- There was documentation in a few cases that regular phone contact had been arranged between the siblings (in one case the sibling was on ICPC in Colorado; in a second case the sibling's congregate care placement was a two-hour drive from the other sibling's resource home; and in a third case, the siblings talked on the phone daily and visited more than twice per month throughout the review period.
- In three cases, there were older siblings who had aged out of custody prior to our review period but remained in the resource home with their siblings where they had been placed while in custody. They were also included in the visits with the siblings not placed in the same resource home.
- Documentation in a few of the cases reflected thoughtful reunification practice through a "staggered" THV in which one sibling went on THV at a time to ease the transition for the children and parents.

- One case stood out as an example of good practice because the FSW documented her very deep, thoughtful conversations with case members focused on identifying underlying needs.
- In another case, the FSW was so committed to helping the family achieve reunification that she took an afternoon (along with some co-workers) to help the children's mother (who was ill and had just had a new baby) move into her new apartment.

### *Examples of concerning visit and case practice*

We also found some examples of concerning visit practice, and in some cases, we identified concerns about other practice areas.<sup>12</sup>

- In some cases, the file documented that sibling visits (and sometimes visits with other family members) were withheld as a consequence for the children's behaviors. In one case that appeared, based on TFACTS documentation, to be particularly concerning, the siblings were both placed in residential treatment facilities that had policies of withholding family visits as a disciplinary consequence for bad behavior.<sup>13</sup> The region indicated in its follow-up response that the siblings' "negative influence on one another in addition to their unsafe behavior in their treatment programs kept the two from having regularly scheduled sibling visitation [during the review period]," and TFACTS documents that the FSW canceled one scheduled sibling visit because of one sibling's behavior. However, multiple case recordings in TFACTS document that the siblings want to see each other and ask about one another frequently, and the staff at one sibling's placement told the FSW that the youth was depressed but seemed to feel much better whenever he talked to his sister.
- In another particularly concerning case, there was only one visit between the siblings (at the end of the review period) even though the sibling visit requirement was "applicable" throughout the review period. The FSW documented how happy the siblings were to see one another during that visit, but the reviewer found no documentation of plans for future visits. It appears that sibling visits were completely neglected in this case as evidenced by an earlier case recording in one of the sibling's files that stated the child did not have any siblings in custody. This case had also been included in our previous sibling visit review and scored poorly. In its follow-up response, the region indicated that one sibling's caregiver (his grandmother) did not want him to visit with his sister and always canceled at the last minute, but the region did not describe any efforts to address this issue.
- There were three cases for which the reviewer noted serious concerns about permanency planning—specifically that it appeared the children were being pushed toward exiting custody even though underlying needs had been neither identified nor addressed and the family's circumstances had not really changed. In one case, it was the siblings' fourth time in custody. In another case, the recommendation from a CCP evaluation in 2007 was that

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<sup>12</sup> The Department requested identifying information for these cases in order to follow up on the concerns, and that information has been provided.

<sup>13</sup> Reviewers noted other cases in which the children's congregate care placement had a policy that visits with siblings were not allowed for a certain period after beginning the program (typically 30 days). This policy may not necessarily be inappropriate, but we thought it worth noting.

termination of parental rights be pursued. The siblings underwent a second CCP evaluation during the review period (three years later) that again recommended termination of parental rights and questioned why the recommendations from the previous evaluation had not been followed. However, the Department went to court the following day and requested a THV for one of the siblings, even though another sibling's THV a couple of months earlier had not gone well.

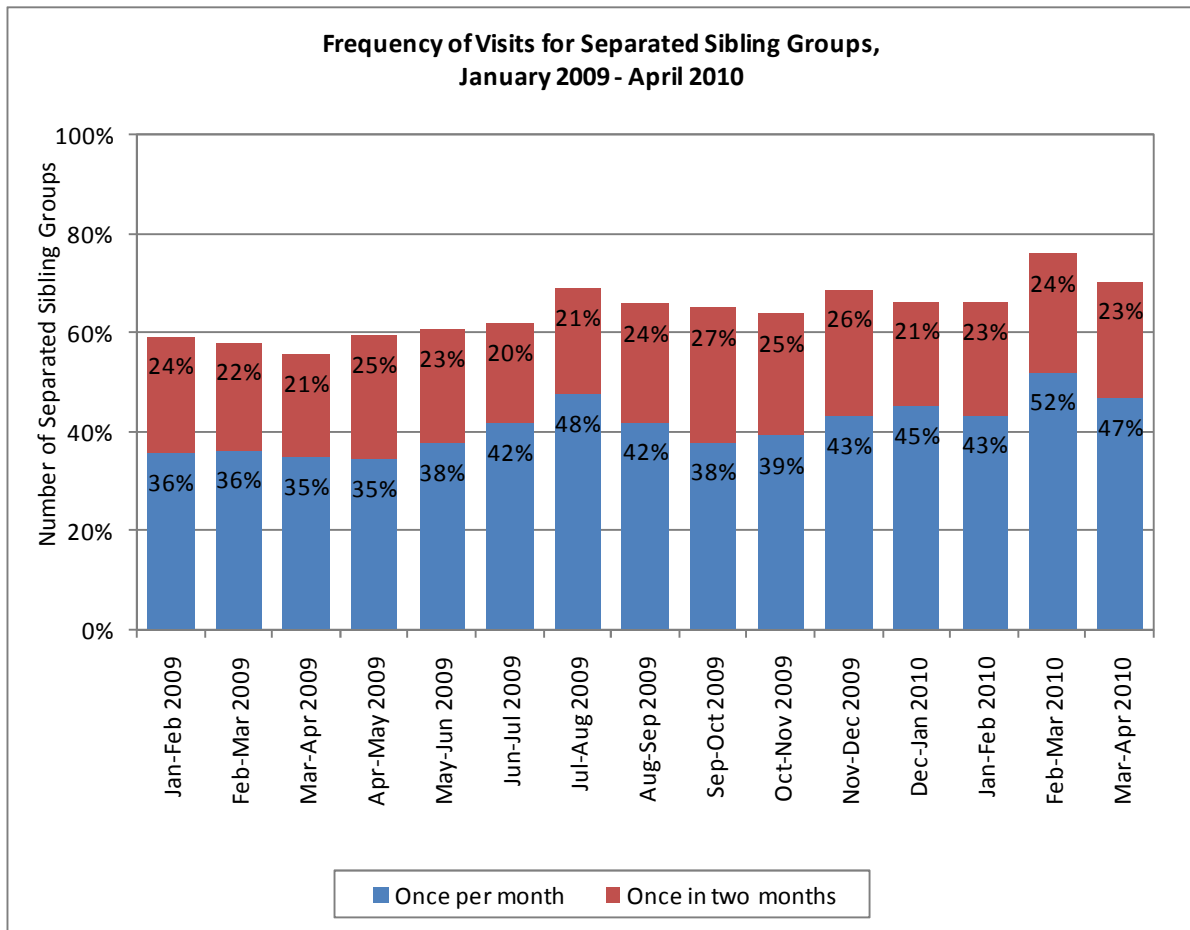
- In one case, the reviewer noted that the FSW took important social activities away from the children as punishment, encouraged the resource parent to do the same, and also used "scare tactics" to influence the children's behavior. For example, she suggests that the resource parent take cell phones and special outings away from the girls as punishment for bad behavior, and if those things do not work, that the resource parent also take them out of cheerleading. Elsewhere she documents a conversation with one sibling in which she tells him that if he continues to get suspended, his parents could get tired of his behavior and put him in a residential facility after he is adopted. Case documentation is clear that the FSW is connected to the children and wants to help them, but the reviewer was concerned about her approach in these instances.

## **APPENDIX J**

**Aggregate Data on Sibling Visits,  
January 2009 through April 2010**



The following figure presents aggregate data on sibling visits for the period from January 2009 through April 2010.



Source: TNKids "Active *Brian A. Class* Sibling Groups Not Placed Together Visitation Summary Reports" (SBL-ASGNPTVS-200) for January and February 2009 through March and April 2010.

## **APPENDIX K**

### **Definitions of Each Incident Type**

## Incident Definitions as of June 25, 2010

Incident Type	Definition
<b>Abduction</b>	A child (or youth) is taken from the facility by unauthorized individuals (i.e. alleged perpetrators of abuse, non-custodial parents or relatives).
<b>Abuse or neglect</b>	A DCS or contract agency staff member or any person in contact with the youth is alleged to have physically, sexually or verbally abused a child or youth.
<b>Assault</b>	A willful and malicious attack by a child/youth on another person (this is not meant to include horse-play)
<b>Emergency Medical Treatment</b>	A child/youth has been injured or has suffered an illness that requires emergency medical attention. (In an instance of treatment of a child or youth, the child or youth's custodial adult must be notified.)
<b>Physical Restraint</b>	The involuntary immobilization of an individual without the use of mechanical devices this includes escorts where the youth is not allowed to move freely.
<b>Contraband</b>	Any item possessed by an individual or found within the facility that is illegal by law or that is expressly prohibited by those legally charged with the responsibility for the administration and operation of the facility or program and is rationally related to legitimate security, safety or treatment concerns. Note: aggregate Cigarettes/Tobacco monthly.
<b>Major Event at Agency</b>	An event causing a significant disruption to the overall functioning of the program AND necessitating notifying an emergency official. This event affects all, or nearly all, of the children and staff at the location. Examples include a riot, a fire, the death of a child or staff member (while at the location), a flood, etc.
<b>Arrest of child or youth</b>	A child or youth is arrested while in the custody or control of DCS, and the arrest has been confirmed by a law enforcement agency.
<b>Arrest of parent, surrogate or staff person</b>	The arrest of a DCS or a contract agency staff member, including foster parent or others affiliated with the youth and/or family, and has been confirmed by a law enforcement agency.
<b>Medication Error</b>	A medication error is when a medication is not administered according to the prescribing provider and/or according to DCS policy and procedure.
<b>Mental Health Crisis</b>	A child or youth has engaged in or experienced: self injurious behavior; suicidal ideation or behavior; homicidal ideation or behavior or acute psychotic episode.
<b>Emergency Use of Psychotropic medication(s)</b>	An emergency one-time dose of a psychotropic medication in the event of a psychiatric emergency when all other measures have been determined unlikely to prevent the child/youth from imminent harm to self and/or others.
<b>Mechanical Restraint</b>	The use of a mechanical device that is designed to restrict the movement of an individual. Mechanical restraints shall be defined as handcuffs, chains, anklets, or ankle cuffs, or any other DCS approved or authorized device.
<b>Seclusion</b>	The placement or confinement of an individual alone in a locked room or egress is prevented.
<b>Runaway</b>	Child or youth leaves a program without permission and their whereabouts is unknown or not sanctioned.
<b>Placement Referral Decisions</b>	Placement Referral Decisions
<b>Disruption of Service</b>	Disruption of Service

## **APPENDIX L**

### **Supplemental Information on Exits to Permanency**

This appendix presents additional information supplementing the data discussion on pages 88-95 of this monitoring report regarding exits to permanency.

### **A. Exits for 2007 Entry Cohort by Exit Type**

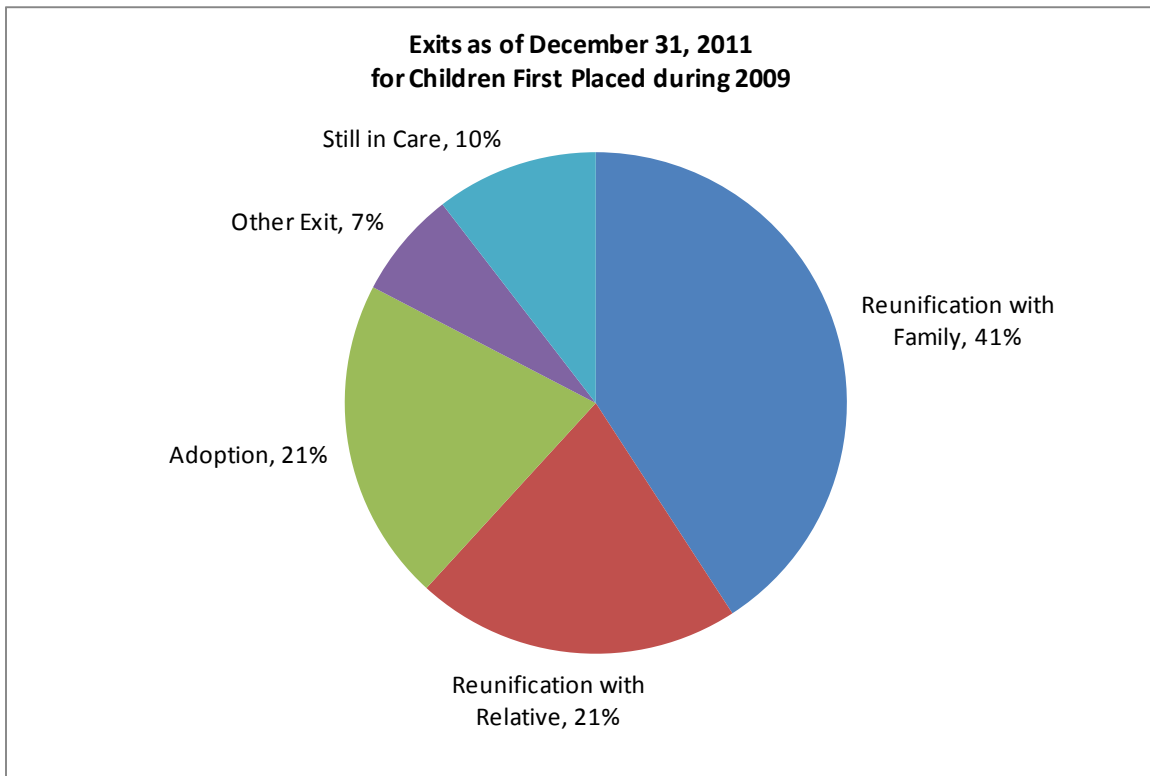
The Department tracks and reports on the permanency outcomes for children entering foster care during a particular year. For example, the figure below shows the percentage of children first entering out-of-home placement in 2009 who have exited to each exit type as of December 31, 2011. Children exiting to reunification represent by far the largest percentage of exits. As of December 31, 2011, 41% of the children entering care in 2009 had exited to reunification with Family, 21% had exited to reunification with relatives, 21% had exited to adoption, 7% had experienced some other non-permanent exit, and 10% remained in care.<sup>1</sup>

This data both helps the Department understand the range and frequency of exit types generally and allows comparison of entry cohorts as one possible indicator of changes in performance related to permanency.<sup>2</sup>

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<sup>1</sup> It is important to note that, as discussed further below, for those who remain in care, the percentage of those children exiting to adoption will likely be greater than the percentage of those who have already exited and the percentage of those exiting to reunification will likely be lower. For this reason, the ultimate “exit type” percentages for the 2009 entry cohort (calculated after the last child in that cohort exits custody) will be different than the percentages to date.

<sup>2</sup> The November 2010 Monitoring Report presented these data as of December 31, 2009 for children entering out-of-home placement in 2007. By December 31, 2009, 50% of children entering in 2007 had exited to reunification with family, 22% to reunification with a relative, and 11% to adoption. Eight percent (8%) experienced some other non-permanent exit, and 9% were still in out-of-home placement.



Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

## **B. Interrelationship between Exit Type and Length of Stay for Children Placed 2003 to 2011**

The Department tracks and reports data that reflect the interrelationship between length of stay and exit type. The figure below shows the percent of children leaving to each exit type by how long they had been in foster care. The points at interval one in the figure show exits for children who exited within one year of placement as a percent of all children placed. The points at interval two show the proportion of exits that occurred for children who spent at least one year in foster care during the next year-long interval. Similarly, the points at interval three show the proportion of exits that occurred for children who spent two years in foster care. The points at interval four show the proportion of exits that occurred for children who spent three years in foster care during the next year-long interval, and so on.

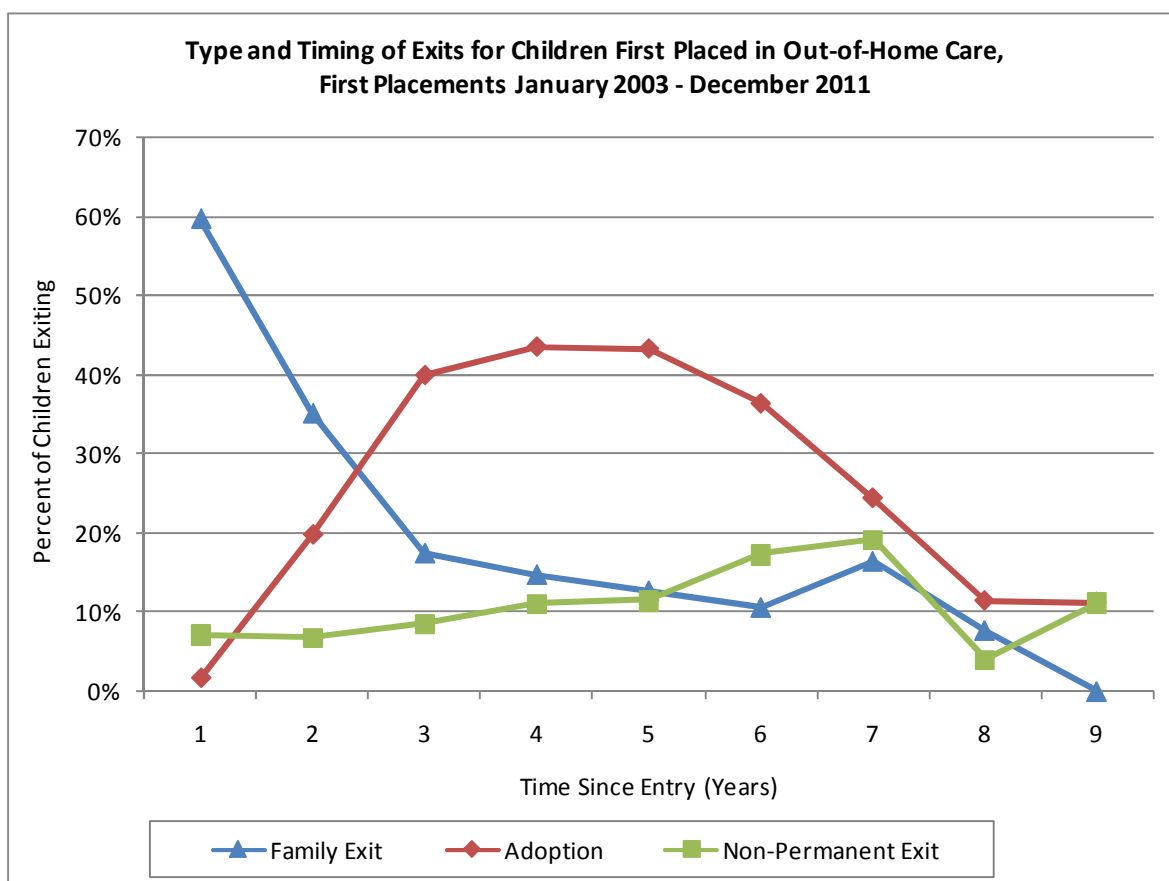
Displaying the three exit probabilities together—adoption, reunification with family or relative (permanent exits), and other exits (non-permanent exits, primarily running away or reaching majority)—helps to better understand how the likelihood of certain exits changes over time. For example, family exits (the blue line) occur more frequently among children with shorter durations in placement and taper off over time. That is, the likelihood of a family exit is highest in the first year and drops significantly in subsequent years. Adoptions (the red line), on the other hand, occur more slowly, but the probability of adoption increases over time.

The points at interval one show that the most common exit for children who spend less than a year in foster care is a “family exit”—a return to the child’s birth family or a relative. Between

50-60% of children discharged in the first year follow this path. Not surprisingly, given the typical time it takes to decide that adoption is the best permanency option and the time it takes to complete the adoption process, only a small percentage of children who spend less than a year in foster care will be adopted.

Among children who spend more than one year in foster care, the figure shows that as time goes on, these children become less likely to return to a birth parent or relative and more likely to be adopted. For children whose exits occur after their third year in care, those exits are more likely to be to adoption.

The line depicting the percent of children experiencing other exits shows that the likelihood of leaving foster care in another way, generally by running away or reaching the age of majority, is about 10% in each yearly interval, though it generally increases over time.



Source: Longitudinal analytic files developed by Chapin Hall from TFACTS data transmitted in February 2012.

**APPENDIX M**

**SIU Notification Form**





# Tennessee Department of Children's Services Special Investigations (SIU) – Notification of Case Initiation and Closure

_____	_____	( ) -
DCS Office	Address	Telephone Number
Notification: <input type="checkbox"/> Initiation <input type="checkbox"/> Closure	Date of Notification: ____ / ____ / ____	
Date of Referral: ____ / ____ / ____	Referral Number: _____	Date of Assignment: ____ / ____ / ____

Child(ren) Victim's Name	DOB	Adjudication	No of Previous SIU Referrals	County of Residence
	/ /			
	/ /			
	/ /			
	/ /			
	/ /			
	/ /			

Perpetrator's Name	Perpetrator's Relationship to Child	Perpetrator's Adjudication	No of Previous SIU Referrals	County of Incident

## Allegations: (Check all that apply)

<input type="checkbox"/> Abandonment	<input type="checkbox"/> Environmental Neglect	<input type="checkbox"/> Sexual Abuse/Exploitation
<input type="checkbox"/> Physical Abuse	<input type="checkbox"/> Nutritional Neglect	<input type="checkbox"/> Psychological Harm
<input type="checkbox"/> Drug Exposed Child	<input type="checkbox"/> Educational Neglect	<input type="checkbox"/> Child Death
<input type="checkbox"/> Medical Neglect	<input type="checkbox"/> Lack of Supervision	

## Details of Allegation:

## Identify Placement:

Classification: (Check all that apply)			
<input type="checkbox"/> Allegation Unfounded, Perpetrator Unfounded	<input type="checkbox"/> Allegation Indicated, Perpetrator Indicated		
<input type="checkbox"/> Allegation Indicated, Sexually Reactive Child	<input type="checkbox"/> Allegation Indicated, Perpetrator Unknown		
<input type="checkbox"/> Allegation Indicated, Perpetrator Unfounded	<input type="checkbox"/> Allegation Unfounded, Perpetrator Unfounded with Concerns Noted		
<input type="checkbox"/> Administrative Closure	<input type="checkbox"/> Other:		

## Support for Classification Decision:

This case was debriefed with: \_\_\_\_\_ from \_\_\_\_\_  
 Name Agency/DCS  
 on \_\_\_\_ / \_\_\_\_ / \_\_\_\_  
 Date

**Check if Unfounded Case with Unresolved Issues and/or Concerns Related to Safety or Well-being:** (Check all that apply)

<input type="checkbox"/>	Discipline issues (e.g., corporal punishment, etc.)
<input type="checkbox"/>	Supervision issues (e.g., use of too young or questionable persons for baby-sitting; independent respite; etc.)
<input type="checkbox"/>	Environmental concerns (e.g., safety hazards such as pool w/o fence; inadequate sleeping arrangements; lack of cleanliness; hazardous materials around unsupervised youth; etc.)
<input type="checkbox"/>	Child specific issues unrelated to foster parent(s) (e.g., child needs a higher or different level of treatment; i.e. sex-related therapy, grief counseling, gender identity counseling, etc.)
<input type="checkbox"/>	Placement issues (e.g., child to facility/resource home is not a "good match"; etc.)
<input type="checkbox"/>	Providing bare minimum nurturing (e.g., foster children treated inferior to biological children; foster parents don't appear to be bonded w/ the foster children; etc.)
<input type="checkbox"/>	Inappropriate behavior/comments in setting (e.g., foster parent(s), agency staff, household members yelling, cursing, being demeaning to children; etc.)
<input type="checkbox"/>	Lack of appropriate care for youth (e.g., children are physically unclean; clothed improperly; not fed adequately; etc.)
<input type="checkbox"/>	Medication issues (e.g., incorrect medication administration; missing appointments; etc.)
<input type="checkbox"/>	Unaddressed truancy
<input type="checkbox"/>	Poor/limited cooperation of foster parent(s) or agency with SIU
<input type="checkbox"/>	Non-compliance with DCS personnel policies (e.g., lack of appropriate or timely background/fingerprint checks for employees; people living in resource home who are not approved as household members; etc.)
<input type="checkbox"/>	Milieu issues (e.g., environment in the congregate care setting is not therapeutic; etc.)
<input type="checkbox"/>	Other:

**Details of Concerns:**

Contact Person: \_\_\_\_\_

**Notification E-mailed to:**

_____, EI DCS Child Placement & Private Providers	_____, Executive Director of Child Safety
_____, Regional Administrator	_____, Director for SIU
_____, Family Service Worker	_____, SIU TC
_____, Family Service Worker's TL	_____, SIU TL
_____, Director of PQTS	_____, SIU
_____, Director of DCS Licensing	_____, Director of Foster Care and Adoption
_____, DCS Resource TC	_____, DCS Juvenile Justice Division
_____, YDC Superintendent	_____, Monitor's Office

According to DCS SIU Policy **14.25 Special Child Protective Services Investigations, Section F, 5, c**: Family Service Workers are responsible for notifying the biological parents of a foster child during a SIU investigation.

According to SIU Policy **14.25 Special Child Protective Services Investigations, Section D, 3, a**: All information is confidential and regional staff is prohibited from sharing information about the investigation with the foster parents.

## **APPENDIX N**

### **Contracts for Regional Community-Based Services and Adoption and Foster Care Support**

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16221	Needs Assessment	New Vision, Inc.	Competitive	Adoption and Foster Care Support - Davidson	5/23/2008	5/22/2013	5.0	307,500.00	36,900.00	5/12/2008
16228	Needs Assessment	Harmony Adoptions of Tennessee, Inc.	Competitive	Adoption and Foster Care Support – East	6/15/2008	6/14/2013	5.0	360,333.33	94,000.00	6/12/2008
16225	Needs Assessment	Children's Home - Chambliss Shelter	Competitive	Adoption and Foster Care Support – Hamilton	6/15/2008	6/14/2013	5.0	210,833.33	55,000.00	6/11/2008
16429	Needs Assessment	Tennessee Community Services Agency	Competitive	Adoption and Foster Care Support – Knox	6/15/2008	6/14/2013	5.0	154,483.33	40,300.00	7/17/2008
16227	Needs Assessment	New Vision, Inc.	Competitive	Adoption and Foster Care Support - Mid Cumberland	6/20/2008	6/19/2013	5.0	725,000.00	87,000.00	6/13/2008
24881	Needs Assessment	Harmony Adoptions of Tennessee, Inc.	Competitive	Adoption and Foster Care Support - Northeast	2/15/2011	6/30/2013	2.4	192,500.00	66,000.00	2/15/2011
16431	Needs Assessment	Tennessee Community Services Agency	Competitive	Adoption and Foster Care Support - Northwest	6/20/2008	6/19/2013	5.0	99,000.00	15,240.00	8/1/2008
16226	Needs Assessment	Family and Children's Service, Inc.	Competitive	Adoption and Foster Care Support – Shelby	6/20/2008	6/19/2013	5.0	505,000.00	60,600.00	6/16/2008
16229	Needs Assessment	Agape, Inc.	Competitive	Adoption and Foster Care Support - South Central	6/20/2008	6/19/2013	5.0	209,500.00	25,140.00	6/6/2008
16224	Needs Assessment	Children's Home - Chambliss Shelter	Competitive	Adoption and Foster Care Support - Southeast	6/15/2008	6/14/2013	5.0	383,333.33	100,000.00	6/11/2008
16430	Needs Assessment	Tennessee Community Services Agency	Competitive	Adoption and Foster Care Support - Southwest	6/20/2008	6/19/2013	5.0	149,051.34	23,460.00	8/1/2008
16230	Needs Assessment	Family and Children's Service, Inc.	Competitive	Adoption and Foster Care Support - Upper Cumberland	6/15/2008	6/14/2013	5.0	160,616.66	41,900.00	6/12/2008
26833	Needs Assessment	Renewal House	Grant	Alcohol & Drug Assessment and Treatment	7/1/2011	6/30/2012	1.0	63,750.00	63,750.00	6/15/2011
26835	Needs Assessment	Renewal House	Grant	Alcohol & Drug Assessment and Treatment	7/1/2011	6/30/2012	1.0	68,000.00	68,000.00	6/15/2011
19833	Behavioral Health Services	East Tennessee State University	Grant	Behavioral Health Services Centers of Excellence	7/1/2010	6/30/2013	3.0	1,364,364.00	454,788.00	6/24/2010
19834	Behavioral Health Services	The University of Tennessee	Grant	Behavioral Health Services Centers of Excellence	7/1/2010	6/30/2013	3.0	2,756,679.00	918,893.00	5/24/2010
19835	Behavioral Health Services	Focus Psychiatric Services, PC	Grant	Behavioral Health Services Centers of Excellence	7/1/2010	6/30/2013	3.0	1,419,573.00	473,191.00	5/21/2010

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
19836	Behavioral Health Services	Vanderbilt University	Grant	Behavioral Health Services Centers of Excellence	7/1/2010	6/30/2013	3.0	3,385,509.00	1,128,503.00	6/15/2010
19837	Behavioral Health Services	The University of Tennessee through UTHSC	Grant	Behavioral Health Services Centers of Excellence	7/1/2010	6/30/2013	3.0	1,863,525.00	621,175.00	5/21/2010
24747	Needs Assessment	Vanderbilt University	Grant	CANS Project	7/1/2010	6/30/2012	2.0	2,474,212.33	1,406,513.00	9/25/2010
25242	Bright Future Program	DP - Chafee Post Secondary Education	DP	Chafee Post Secondary Education	7/1/2011	6/30/2012	1.0	500,000.00	500,000.00	4/27/2011
16962	Child Abuse Prevention	Coffee County Children's Advocacy Center	Competitive Grant	Child Abuse Prevention	7/1/2009	6/30/2012	3.0	84,000.00	28,000.00	8/5/2009
16360	Child Advocacy Center	Child Advocacy Center of the 31st Judicial District	Grant	Child Advocacy Center	7/1/2007	6/30/2012	5.0	250,000.00	50,000.00	6/19/2008
16362	Child Advocacy Center	Child Advocacy Center of the 3rd Judicial District	Grant	Child Advocacy Center	7/1/2007	6/30/2012	5.0	250,000.00	50,000.00	6/4/2007
16382	Child Advocacy Center	Anderson County Child Advocacy Center	Grant	Child Advocacy Center	10/1/2007	6/30/2012	4.8	250,000.00	50,000.00	8/22/2008
16256	Child Advocacy Center	Montgomery County Office of County Judge	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	8/8/2008
16385	Child Advocacy Center	ChildHelp USA Children's Center of East Tennessee	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/14/2008
16391	Child Advocacy Center	Kid's Place, A Child Advocacy Center	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/16/2008
16392	Child Advocacy Center	Nashville Children's Alliance, Inc.	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/11/2008
16394	Child Advocacy Center	Children's Advocacy Center of the 1st Judicial District	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	8/28/2008
16396	Child Advocacy Center	Children's Advocacy Center of Hamilton County	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/31/2008

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16397	Child Advocacy Center	Robertson County Child Advocacy Center	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	9/12/2008
16399	Child Advocacy Center	Children's Advocacy Center of Sullivan County	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/30/2008
16402	Child Advocacy Center	Williamson County Child Advocacy Center	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	9/22/2008
16408	Child Advocacy Center	Ashley's Place Sumner Child Advocacy Center	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	9/29/2008
16409	Child Advocacy Center	Campbell County Children's Center	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	10/2/2008
16410	Child Advocacy Center	Child Advocacy Center of Rutherford County	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	9/30/2008
16940	Child Advocacy Center	Exchange Club - CPC - Madison County CAC	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/15/2008
17182	Child Advocacy Center	Child Advocacy Center of the 9th Judicial District	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	10/07/2008
17378	Child Advocacy Center	Exchange Club - CPC - Tipton County CAC	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/17/2008
17614	Child Advocacy Center	Exchange Club - CPC - Henderson County CAC	Grant	Child Advocacy Center	7/1/2008	6/30/2013	5.0	250,000.00	50,000.00	7/17/2008
16416	Child Advocacy Center	Exchange Club - CPC - Carroll County CAC	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	6/15/2009
16925	Child Advocacy Center	Child Advocacy Center of the 15th Judicial District	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	8/14/2009
16927	Child Advocacy Center	Safe Harbor Child Advocacy Center	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	8/2/2009

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16947	Child Advocacy Center	Memphis Child Advocacy Center	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	8/10/2009
17190	Child Advocacy Center	Blount County Children's Advocacy Center	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	7/23/2009
17213	Child Advocacy Center	Exchange Club - CPC - 27th Judicial District CAC	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	6/15/2009
17216	Child Advocacy Center	10th Judicial District Children's Advocacy Center	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	8/31/2009
17217	Child Advocacy Center	Children's Center of the Cumberlands - Scott County	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	8/9/2009
17218	Child Advocacy Center	Junior's House Child Advocacy Center 17th Judicial District	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	6/17/2009
17385	Child Advocacy Center	Upper Cumberland Child Advocacy Center 13th Judicial District	Grant	Child Advocacy Center	7/1/2009	6/30/2014	5.0	250,000.00	50,000.00	9/3/2009
21636	Child Advocacy Center	Coffee County Children's Advocacy Center	Grant	Child Advocacy Center	7/1/2010	6/30/2015	5.0	250,000.00	50,000.00	7/8/2010
21639	Child Advocacy Center	Exchange Club - Carl Perkins Center	Grant	Child Advocacy Center	7/1/2010	6/30/2015	5.0	250,000.00	50,000.00	8/16/2010
24380	Child Advocacy Center	Child Advocacy Center of the 23rd Judicial District.	Grant	Child Advocacy Center	7/1/2010	6/30/2015	5.0	250,000.00	50,000.00	7/1/2010
17384	Child Advocacy Center	Tennessee Chapter Children's Advocacy Centers	Grant	Child Advocacy Centers	7/1/2009	6/30/2014	5.0	1,285,120.00	257,024.00	8/13/2009
25956	SSBG	Tennessee Department of Health	Grant	Child Development	7/1/2011	6/30/2012	1.0	538,000.00	538,000.00	6/21/2011
28652	Adoption	Romney Ridge Counseling,	Non-Competitive	Consultant - Adoption Services	9/16/2011	6/30/2012	0.8	5,000.00	5,000.00	9/27/2011
28690	Adoption	Joyce N. Harris, LCSW	Non-Competitive	Consultant - Adoption Services	9/16/2011	6/30/2012	0.8	5,000.00	5,000.00	9/16/2011

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16361	Needs Assessment	Tennessee Voices for Children, Inc.	Grant	Crisis Intervention and Mediation	7/1/2007	6/30/2012	5.0	1,271,000.00	254,200.00	6/12/2007
25640	Custody/Non-Custody Services	DP - Custodial Non Custodial Child & Family	DP	Custodial Non Custodial Child & Family - Child and Family Services	7/1/2011	6/30/2012	1.0	13,200,000.00	13,200,000.00	6/17/2011
16363	Child Advocacy Center	Blount County Children's Advocacy Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	6/29/2007
16364	Child Advocacy Center	Child Advocacy Center of the 23rd Judicial District.	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	7/9/2007
16367	Child Advocacy Center	Junior's House Child Advocacy Center 17th Judicial District	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/16/2007
16368	Child Advocacy Center	Campbell County Children's Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/17/2007
16369	Child Advocacy Center	Coffee County Children's Advocacy Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/20/2007
16370	Child Advocacy Center	Ashley's Place Sumner Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/16/2007
16371	Child Advocacy Center	Child Advocacy Center of the 3rd Judicial District	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/20/2007
16372	Child Advocacy Center	Child Advocacy Center of the 31st Judicial District	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/27/2007
16373	Child Advocacy Center	Child Advocacy Center of Rutherford County	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/17/2007
16374	Child Advocacy Center	Williamson County Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/20/2007
16375	Child Advocacy Center	Exchange Club - Carl Perkins Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	5/29/2007



Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16377	Child Advocacy Center	Children's Advocacy Center of Sullivan County	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	8/30/2007
16378	Child Advocacy Center	Robertson County Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	9/24/2007
17613	Child Advocacy Center	Child Advocacy Center of the 9th Judicial District	Grant	Forensic Child Interviewers	7/1/2007	6/30/2012	5.0	175,000.00	35,000.00	7/2/2007
16386	Child Advocacy Center	Memphis Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2008	6/30/2013	5.0	350,000.00	70,000.00	7/14/2008
16389	Child Advocacy Center	Children's Center of the Cumberlands	Grant	Forensic Child Interviewers	7/1/2008	6/30/2013	5.0	175,000.00	35,000.00	8/11/2008
16390	Child Advocacy Center	Nashville Children's Alliance, Inc.	Grant	Forensic Child Interviewers	7/1/2008	6/30/2013	5.0	350,000.00	70,000.00	8/5/2008
16398	Child Advocacy Center	Children's Advocacy Center of Hamilton County	Grant	Forensic Child Interviewers	7/1/2008	6/30/2013	5.0	350,000.00	70,000.00	7/31/2008
16400	Child Advocacy Center	Safe Harbor Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2008	6/30/2013	5.0	175,000.00	35,000.00	7/30/2008
16407	Child Advocacy Center	Anderson County Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2008	6/30/2013	5.0	175,000.00	35,000.00	9/29/2008
16929	Child Advocacy Center	Upper Cumberland Child Advocacy Center 13th Judicial District	Grant	Forensic Child Interviewers	8/1/2009	6/30/2014	4.9	175,000.00	35,000.00	8/10/2009
17241	Child Advocacy Center	Exchange Club - Carl Perkins Center	Grant	Forensic Child Interviewers	7/1/2009	6/30/2014	5.0	350,000.00	70,000.00	9/30/2009
17606	Child Advocacy Center	Kid's Place, A Child Advocacy Center	Grant	Forensic Child Interviewers	7/1/2009	6/30/2014	5.0	175,000.00	35,000.00	8/24/2009
18090	Child Advocacy Center	Montgomery County Office of County Judge	Grant	Forensic Child Interviewers	7/1/2009	6/30/2014	5.0	175,000.00	35,000.00	10/28/2009

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
21594	Child Advocacy Center	10th Judicial District Children's Advocacy Center	Grant	Forensic Child Interviewers	7/1/2010	6/30/2015	5.0	175,000.00	35,000.00	8/23/2010
21607	Child Advocacy Center	ChildHelp USA Children's Center of East Tennessee	Grant	Forensic Child Interviewers	7/1/2010	6/30/2015	5.0	175,000.00	35,000.00	10/27/2010
21641	Child Advocacy Center	Children's Advocacy Center of the 1st Judicial District	Grant	Forensic Child Interviewers	7/1/2010	6/30/2015	5.0	175,000.00	35,000.00	11/29/2010
25631	Foster Care	DA - Foster Care	DA	Foster Care Homes	7/1/2011	6/30/2012	1.0	20,000,000.00	20,000,000.00	3/30/2011
27199	Child Abuse Prevention/ Development	Tennessee Department of Health	Grant	Healthy Start	7/1/2009	6/30/2012	3.0	9,180,300.00	3,060,100.00	10/2/2009
16928	Child Abuse Prevention	Catholic Charities of Tennessee, Inc.	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/10/2009
16934	Child Abuse Prevention	The South Central Family Center, Inc.	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	129,600.00	43,200.00	8/5/2009
16948	Child Abuse Prevention	Catholic Charities of East Tennessee	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	113,190.00	37,730.00	8/7/2009
16953	Child Abuse Prevention	Exchange Club - Carl Perkins Center	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/10/2009
16959	Child Abuse Prevention	Exchange Club - Carl Perkins Center	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/5/2009
16963	Child Abuse Prevention	Exchange Club Family Center, Inc.	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	175,368.00	58,456.00	8/3/2009
17189	Child Abuse Prevention	Le Bonheur Community Outreach-Fatherhood	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	171,012.00	57,004.00	9/22/2009
17226	Child Abuse Prevention	Catholic Charities of Tennessee, Inc.	Competitive Grant	In Home Visitation	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	7/23/2009
25674	Independent Living	Child and Family Tennessee	Grant	Independent Living Services	11/1/2011	6/30/2012	0.7	90,000.00	90,000.00	8/1/2011
25675	Independent Living	Monroe Harding, Inc.	Grant	Independent Living Services	7/1/2011	6/30/2012	1.0	30,000.00	30,000.00	9/16/2011
26693	Independent Living	South Memphis Alliance	Grant	Independent Living Services	7/1/2011	6/30/2012	1.0	90,000.00	90,000.00	9/6/2011
26736	Independent Living	Youth Villages	Grant	Independent Living Services	7/1/2011	6/30/2012	1.0	2,165,000.00	2,165,000.00	7/7/2011

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
27713	Independent Living	Monroe Harding, Inc.	Grant	Independent Living Services	7/1/2011	6/30/2012	1.0	87,890.00	87,890.00	8/10/2011
25241	Independent Living	DA - Interdependent Living	DA	Independent Living Services	7/1/2011	6/30/2012	1.0	720,000.00	720,000.00	3/31/2011
25608	Custody Services	DA - Subsidized Guardianship	DA	IV-E Subsidized Guardianship	7/1/2011	6/30/2012	1.0	3,600,000.00	3,600,000.00	3/29/2011
25237	Kinship Care	DA - Kinship Care	DA	Kinship Care	7/1/2011	6/30/2012	1.0	513,000.00	513,000.00	3/31/2011
16387	Child Abuse Prevention	Catholic Charities of Tennessee, Inc.	Competitive Grant	Parent Support Programs	7/1/2008	6/30/2012	4.0	198,632.00	49,658.00	7/7/2008
16921	Child Abuse Prevention	Exchange Club - Holland J Stephens	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/16/2009
16935	Child Abuse Prevention	New Vision, Inc.	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	7/31/2009
16944	Child Abuse Prevention	Prevent Child Abuse Tennessee, Inc.	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	451,416.00	150,472.00	8/10/2009
16945	Child Abuse Prevention	Nashville Children's Alliance, Inc.	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	136,350.00	45,450.00	7/21/2009
16950	Child Abuse Prevention	Nurses for Newborns of Tennessee	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	115,410.00	38,470.00	8/4/2009
16961	Child Abuse Prevention	Children's Center of the Cumberland- Fentress County	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	114,948.00	38,316.00	10/2/2009
17222	Child Abuse Prevention	Nurses for Newborns of Tennessee	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	106,410.00	35,470.00	7/24/2009
17224	Child Abuse Prevention	Exchange Club Family Center, Inc.	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	7/23/2009
17610	Child Abuse Prevention	Our Children Our Future	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	107,520.00	35,840.00	9/24/2009
17611	Child Abuse Prevention	Le Bonheur Community Outreach	Competitive Grant	Parent Support Programs	7/1/2009	6/30/2012	3.0	153,000.00	51,000.00	9/15/2009
27025	Custody Services	Youth Villages	Grant	Parent Support Programs	7/1/2011	6/30/2012	1.0	2,118,050.00	2,118,050.00	6/29/2011
16797	Child Abuse Prevention	Child and Family Tennessee	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	67,071.00	22,357.00	7/28/2009
16923	Child Abuse Prevention	Children's Advocacy Center of Hamilton County	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	7/29/2009
16932	Child Abuse Prevention	The Florence Crittenton Agency, Inc.	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	83,406.00	27,802.00	7/27/2009

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16937	Child Abuse Prevention	Behavioral Research Institute	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/6/2009
16939	Child Abuse Prevention	Exchange Club (Eccapc)	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	171,012.00	57,004.00	9/28/2009
16941	Child Abuse Prevention	Catholic Charities of East Tennessee	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	61,803.00	20,601.00	7/29/2009
16956	Child Abuse Prevention	The Florence Crittenton Agency, Inc.	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	68,775.00	22,925.00	8/7/2009
16957	Child Abuse Prevention	Campbell County Children's Center	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	7/31/2009
16960	Child Abuse Prevention	Child and Family Tennessee	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	100,602.00	33,537.00	8/11/2009
17167	Child Abuse Prevention	Child and Family Tennessee	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	90,186.00	30,062.00	8/11/2009
17186	Child Abuse Prevention	United Neighborhood Health Services	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	105,750.00	35,250.00	8/31/2009
17187	Child Abuse Prevention	The Florence Crittenton Agency, Inc.	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	65,259.00	21,753.00	7/28/2009
17263	Child Abuse Prevention	Centerstone Community Mental Health Center, Inc.	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/21/2009
17296	Child Abuse Prevention	The University of Tennessee	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	150,000.00	50,000.00	8/27/2009
17304	Child Abuse Prevention	The University of Tennessee	Competitive Grant	Parenting Education	7/1/2009	6/30/2012	3.0	139,200.00	46,400.00	8/27/2009
29075	Needs Assessment	The University of Tennessee	Grant	Personal Responsibility Education Program	10/1/2011	9/30/2013	2.0	1,204,164.00	602,082.00	1/6/2012
27364	Permanency Services	Harmony Adoptions of Tennessee, Inc.	Grant	Post Adoption Services	7/1/2011	6/30/2012	1.0	220,250.00	220,250.00	6/29/2011
27424	Permanency Services	Family and Children's Service, Inc.	Grant	Post Adoption Services	7/1/2011	6/30/2012	1.0	220,250.00	220,250.00	9/6/2011
25642	Foster Care	DP - Pre-service Foster and Adoptive Training	DP	Pre-service Foster and Adoptive Training	7/1/2011	6/30/2012	1.0	35,000.00	35,000.00	6/21/2011
25677	Adoption	Harmony Adoptions of Tennessee, Inc.	Grant	Recruitment, Placement and Finalization	7/1/2011	6/30/2012	1.0	3,239,832.00	3,239,832.00	4/18/2011
20227	Relative Caregiver Program	The University of Tennessee	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	1,275,000.00	637,500.00	8/6/2010

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
20228	Relative Caregiver Program	Southeast Tennessee Development District	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	722,500.00	361,250.00	7/27/2010
20239	Relative Caregiver Program	Upper Cumberland Development District	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	552,500.00	276,250.00	7/19/2010
20244	Relative Caregiver Program	The Center for Family Development	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	340,000.00	170,000.00	7/15/2010
20245	Relative Caregiver Program	Family and Children's Service, Inc.	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	998,000.00	499,000.00	7/14/2010
20246	Relative Caregiver Program	New Vision, Inc.	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	552,500.00	276,250.00	8/19/2010
20248	Relative Caregiver Program	Foothills Care, Inc.	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	425,000.00	212,500.00	7/15/2010
20249	Relative Caregiver Program	Foothills Care, Inc.	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	382,500.00	191,250.00	7/15/2010
20250	Relative Caregiver Program	Exchange Club - Carl Perkins Center	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	382,500.00	191,250.00	5/6/2010
20251	Relative Caregiver Program	Exchange Club - Carl Perkins Center	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	340,000.00	170,000.00	5/6/2010
22582	Relative Caregiver Program	Foothills Care, Inc.	Grant	Relative Caregiver Program	7/1/2010	6/30/2012	2.0	595,000.00	297,500.00	7/15/2010
25633	Adoption	DA - Special Needs Adoption	DA	Special Needs Adoption	7/1/2011	6/30/2012	1.0	75,345,700.00	75,345,700.00	3/30/2011
25644	Supplemental Support	DP - Supplemental Support Non Recurring	DP	Supplemental Support Non Recurring -Non-Recurring Adoption Services	7/1/2011	6/30/2012	1.0	1,002,100.00	1,002,100.00	3/31/2011
25643	Supplemental Support	DP - Supplemental Support Wrap Around	DP	Supplemental Support Wrap Around	7/1/2011	6/30/2012	1.0	1,535,000.00	1,535,000.00	3/31/2011
29184	Needs Assessment	Tennessee Administrative Office of the Courts	Non-Competitive	Technical Assistance - Foster Care Review Board	10/17/2011	6/30/2012	0.7	55,500.00	55,500.00	10/13/2011

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
26356	Non-Custody Services	Tennessee Department of Education	Grant	Tennessee Early Intervention Services	7/1/2011	6/30/2016	5.0	75,000,000.00	15,000,000.00	6/6/2011
16246	Therapeutic Family Preservation	Tennessee Family and Child Alliance	Competitive	Therapeutic Family Preservation - Davidson	8/1/2009	7/31/2014	5.0	1,675,000.00	335,000.00	6/29/2009
16240	Therapeutic Family Preservation	Foothills Care, Inc.	Competitive	Therapeutic Family Preservation - East	6/15/2009	6/14/2014	5.0	2,267,000.00	453,300.00	6/22/2009
16247	Therapeutic Family Preservation	Family Menders	Competitive	Therapeutic Family Preservation - Hamilton	7/1/2009	6/30/2014	5.0	1,000,000.00	200,000.00	6/29/2009
17476	Therapeutic Family Preservation	Foothills Care, Inc.	Competitive	Therapeutic Family Preservation - Knox	7/1/2009	6/30/2014	5.0	2,900,000.00	580,000.00	6/22/2009
17265	Therapeutic Family Preservation	Tennessee Family and Child Alliance	Competitive	Therapeutic Family Preservation - Mid-Cumberland	6/15/2009	6/14/2014	5.0	3,374,480.00	674,459.89	6/29/2009
16241	Therapeutic Family Preservation	Community Impact Alliance, LLC	Competitive	Therapeutic Family Preservation - Northeast	6/15/2009	6/14/2014	5.0	2,605,585.00	566,465.00	6/25/2009
16216	Therapeutic Family Preservation	S/S Wolfe Counseling	Competitive	Therapeutic Family Preservation - Northwest	1/1/2008	6/30/2012	4.5	1,550,000.00	350,000.00	12/19/2007
16248	Therapeutic Family Preservation	Exchange Club Family Center- Mid South	Competitive	Therapeutic Family Preservation - Shelby	8/1/2009	7/31/2014	5.0	3,150,000.00	650,000.00	6/24/2009
16250	Therapeutic Family Preservation	Child and Family Tennessee	Competitive	Therapeutic Family Preservation - Smoky	7/1/2009	6/30/2014	5.0	2,100,000.00	420,000.00	7/7/2009
16245	Therapeutic Family Preservation	Tennessee Family and Child Alliance	Competitive	Therapeutic Family Preservation - South Central	8/1/2009	7/31/2014	5.0	2,187,500.00	445,000.00	6/29/2009
16244	Therapeutic Family Preservation	Family Menders	Competitive	Therapeutic Family Preservation - Southeast	7/1/2009	6/30/2014	5.0	590,000.00	118,000.00	6/29/2009
17365	Therapeutic Family Preservation	S/S Wolfe Counseling	Competitive	Therapeutic Family Preservation - Southwest	8/1/2009	7/31/2014	5.0	2,040,000.00	420,000.00	6/25/2009

Contracts for Regional Community-Based Services and Adoption and Foster Care Support										
Contract Number	Program	Vendor Name	Procurement Category	Service Type	Begin Date	End Date	Duration in Years	Maximum Liability	FY 2012 Maximum Liability	Date Signed
16217	Therapeutic Family Preservation	Alliance for Quality Child and Family Services	Competitive	Therapeutic Family Preservation - Upper Cumberland	1/1/2008	6/30/2012	4.5	3,133,200.00	738,480.00	12/26/2007
27737	Needs Assessment	Exchange Club - Carl Perkins Center	Grant	Therapeutic Visitation	9/1/2011	6/30/2012	0.8	50,000.00	50,000.00	9/16/2011

## **APPENDIX O**

### **Flex Funds Budget**



This appendix presents tables showing the Department's flex fund budgets and expenditures, by region, for fiscal years 2010-11 and 2011-12. The first table presents the custodial and non-custodial flex funds budget and expenditures for 2010-11, and the second table presents the custodial and non-custodial flex funds budget and expenditures for 2011-12.

<b><i>FY 2010-11</i></b>	<b>Custodial</b>		<b>Non-Custodial</b>	
	<i>Budget</i>	<i>Expenditures</i>	<i>Budget</i>	<i>Expenditures</i>
Davidson	280,600	251,023	659,500	326,220
East	235,700	167,909	554,100	205,591
Hamilton	164,800	72,265	387,400	177,240
Knox	248,700	254,562	584,500	432,281
Mid-Cumberland	527,000	402,996	1,238,800	347,716
Northeast	276,800	364,239	650,600	298,954
Northwest	126,400	131,841	297,100	181,475
Shelby	526,200	202,095	1,236,900	284,773
Smoky Mountain	278,000	65,436	653,400	39,693
South Central	246,300	155,968	578,900	170,686
Southeast	180,900	125,313	425,400	136,597
Southwest	194,200	141,057	456,500	208,497
Upper Cumberland	203,900	219,856	479,400	273,263
Central Office	--	5,357	--	6,510
<b>Total</b>	<b>3,489,500</b>	<b>2,559,917</b>	<b>8,202,500</b>	<b>3,089,496</b>

<b>FY 2011-12</b>	<b>Custodial</b>		<b>Non-Custodial</b>	
	<i>Budget</i>	<i>Expenditures</i>	<i>Budget</i>	<i>Expenditures</i>
Davidson	265,700	171,491	584,400	272,755
East	210,000	116,981	462,000	143,046
Hamilton	164,600	46,490	362,200	63,558
Knox	246,200	210,760	541,700	308,975
Mid-Cumberland	525,800	281,432	1,156,600	218,811
Northeast	273,500	238,923	601,700	282,037
Northwest	122,900	94,432	270,400	154,947
Shelby	543,300	197,427	1,195,200	205,780
Smoky Mountain	297,600	215,543	654,700	33,966
South Central	238,100	77,825	523,900	69,951
Southeast	191,800	70,225	421,700	91,498
Southwest	190,200	107,145	418,400	128,056
Upper Cumberland	230,600	140,482	507,300	164,780
Central Office	--	--	--	592
<b>Total</b>	<b>3,500,300</b>	<b>1,969,156</b>	<b>7,700,200</b>	<b>2,138,752</b>

## **APPENDIX P**

### **DCS Monitoring of Private Provider Compliance with Section V Personnel Requirements**

## **DCS MONITORING OF PRIVATE PROVIDER COMPLIANCE WITH SECTION V PERSONNEL REQUIREMENTS**

### **A. Reviews for Fiscal Year 2010-11 Related to Section V Personnel Requirements**

There were 30 private providers with residential contracts with the Department to serve class members during the 2010-11 monitoring period. During that fiscal year, the Program Accountability Review (PAR) Unit and the Licensing Unit shared responsibility for reviewing 22 of those agencies for compliance with specific personnel requirements of Section V of the *Brian A. Settlement Agreement*. The findings by PAR and Licensing were submitted to the Central Office using a scoring sheet from which the data was incorporated into the Provider Scorecard (discussed in Section Twelve of this monitoring report). The relevant findings from these “scorecard reviews” of these 22 agencies are presented in Subsection B below. (Additional data related to certain Section V requirements not specifically included in the score sheets, but nevertheless gathered by PAR for the agencies it reviewed are discussed in Subsection C below).

The remaining eight<sup>1</sup> agencies were exempt from the scorecard review because the agencies were each going through an accreditation review that year.<sup>2</sup> Seven of those agencies, however, had a license from DCS and were therefore subject to required annual licensing reviews by the Licensing Unit. Those licensing reviews included an examination of personnel files. The Licensing Unit did not collect data from the licensing reviews of these seven agencies in the scoring sheet format that would allow for aggregation of licensing report data from these seven agencies with the data collected in the scorecard reviews. Relevant findings from the licensing reviews of these seven private providers are therefore presented separately in Subsection D below.

The eighth agency (exempt from a scorecard review because it was in its accreditation year and not subject to a DCS licensing review because it was licensed by the Department of Mental Health (DMH) rather than DCS) was nevertheless subject to significant DCS oversight, including frequent on-site inspections during 2010-11, as a result of the Placement Quality Team (PQT) process (described in Section Twelve of this Monitoring Report). The contract with that agency was terminated as a result of the PQT process.

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<sup>1</sup> One additional private provider was actually exempt from the scorecard, but a scorecard scoring sheet was filled out and submitted on this provider. The data for that provider is being included among the 22, notwithstanding the fact that this private provider was exempt from the scorecard review.

<sup>2</sup> Given the considerable overlap between accreditation standards and DCS policy requirements, including personnel related requirements, the Department considers the accreditation process to provide sufficient scrutiny during the accreditation review year to warrant an exemption from scorecard reviews during that year. Private providers are either accredited by the Council on Accreditation (COA) which operates on a four-year cycle, the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) which operates on a three-year cycle, or the Commission on Accreditation of Rehabilitation Facilities (CARF) which operates on a three-year cycle.

## **B. Findings for 22 Agencies Subject to Scorecard Review Related to Background Checks, Education, Experience, Competency Testing, and Training Requirements**

The following table presents the number of private provider agencies with at least one finding of non-compliance for at least one staff member from the sample of files reviewed by PAR and Licensing reviewers for the 22 private provider agencies during the fiscal year 2010-11 monitoring period for which Provider Scorecard data was collected.

<b>Table 1: Private Provider Personnel Findings</b>	
<b>Settlement Agreement Requirement</b>	<b>Number of Providers with at least one Finding</b>
Background Check Requirements (V.A)	4
Education Requirements for Child Care Workers (V.O)	1
Experience Requirements For Case Managers and Supervisors (V.B.1-3)	0
Case Manger Competency Test Requirement (V.C.2)	4
Pre-Service and In-Service Training Requirements (V.D.1-4)	4

Source: PAR and Licensing Scoring Sheets for 22 Provider Agencies

As reflected in Table 1 above, there were a small number of private providers with at least one finding of non-compliance for at least one staff member reviewed by PAR and Licensing reviewers.<sup>3</sup>

For the background check requirements, the Settlement Agreement requires all persons applying for positions with DCS or a private provider agency which involve any contact with children to submit to a criminal records check and a DCS abuse and neglect records screening (referred to as “background checks”) before beginning training or employment and makes applicable to both DCS and private provider staff the provisions of DCS administrative policy 4.1 Employee Background Checks, which sets out the specific checks required and offenses that disqualify a person from employment. (V.A) Of the four private providers with findings of non-compliance, one private provider was cited for using a background check company for all employees that checked court records but did not check records of local law enforcement agencies.<sup>4</sup> For the

<sup>3</sup> The review of a private provider agency might not necessarily include a review of each Section V personnel requirement. For example, private providers who only serve children in foster homes would not have any direct care staff or child care workers to be reviewed for education requirements related to that type of position. In addition, because of the focus on new hires, a personnel file review in a given year (particularly in a small agency) might not include a review of the file of a supervisor for those requirements specifically applicable to supervisors.

<sup>4</sup>As is the case with any finding from PAR and Licensing reviews, this private provider was required to develop and implement a Corrective Action Plan (CAP) to address the finding. The agency outlined a new process for background checks of employees in its CAP, and that process was subsequently approved by the Department.

remaining three private providers, all three had findings related to missing internet abuse registry screenings required by DCS Policy for at least one employee (one private provider for one employee, one private provider for two employees, and one private provider for four employees).<sup>5</sup> In addition, one of the three private providers was also missing documentation of the DCS abuse and neglect records screening for one employee.

For the education requirements for child care workers, the Settlement Agreement requires that child care workers employed in any child care facility or program providing placements and services to children in foster care and their families have at least a high school diploma. (V.O) In its monitoring, the Department considers a General Equivalency Diploma (GED) to satisfy the requirement of a diploma. Only one private provider had a finding on this requirement: three of 15 staff reviewed did not have a high school diploma in the personnel file.

For experience requirements for case managers and supervisors, there were no private providers with findings of non-compliance in this category. The Settlement Agreement requires case managers to at least have a bachelor's degree, plus two years experience in providing child welfare services (with a master's degree in social work or a related behavioral science permitted to substitute for one year of experience) for higher level case managers; and supervisors to have a master's degree and at least three years experience as a child welfare case worker (with an additional two years of providing child welfare services permitted to substitute for a master's degree.) (V.B.1-3) While the scoring sheets provided to TAC monitoring staff only provided data on this in a column labeled "experience requirements," the Department asserted that reviewers check for education requirements and record those findings in this column of the scoring sheet. There were no findings related to education requirements recorded in this column.

For the competency test requirement, the Settlement Agreement requires that no case manager assume any responsibility for a case, except as part of a training caseload, until (after completing pre-service training and) passing a skills-based competency test. (V.C.2) Four private providers had a finding of non-compliance when monitored for the competency test requirement. One private provider agency was found non-compliant for one of two files reviewed for this; one private provider agency was found non-compliant for three of seven files reviewed for this; one private provider agency was found non-compliant for one of 19 files reviewed for this; and one private provider agency was found non-compliant for all six files reviewed for this.<sup>6</sup>

For pre-service and in-service training requirements, the Settlement Agreement requires that case managers receive 160 hours pre-service, including instructional training and supervised field training; and 40 hours in-service annually. (V.D.1, 2) For DCS case managers with supervisory responsibility and private provider case managers with comparable responsibilities, the Settlement Agreement requires 40 hours of training specific to supervision of child welfare caseworkers; and 24 hours of in-service each year. (V.D.3, 4) Four private provider agencies had findings on this requirement. For one private provider agency, one of two case managers

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<sup>5</sup> The Department requires providers to complete the following internet checks: Meth Offender Registry, Tennessee Sexual Offender Registry, National Sex Offender Registry, Tennessee Felony Offender Registry, and Department of Health Abuse Registry.

<sup>6</sup> The Department is following up with this provider agency to ensure that they have a process in place for competency testing.

reviewed for pre-service training did not have the required hours and the one case manager supervisor reviewed for pre-service training did not have the required hours. For one private provider agency, one case manager of two reviewed for pre-service training did not have the required hours. For another private provider agency, the one case manager reviewed for pre-service training did not have the required hours. For the remaining private provider agency, one of 19 case managers reviewed for pre-service training did not have the required hours.

### **C. Other Findings Related to Section V Requirements**

Private providers are required to conduct the annual performance evaluations required by the Settlement Agreement. Data was not included in the scoring sheets related to this requirement. However, this information was collected by PAR and provided separately for the 10 private provider agencies monitored by PAR during the fiscal year 2010-11 monitoring period. There were no findings of non-compliance among these 10 private providers.

By contract provision, private provider case managers and supervisors with comparable responsibilities to the DCS case manager are, at a minimum, required to comply with the caseload limits applicable to DCS case managers and supervisors. In addition, the *Private Provider Manual* (PPM) sets more restrictive caseload limits for private provider case managers whose caseloads include medically fragile children or children served through a contract with a continuum of services.

Beginning in 2011, PAR reviewers required that agencies provide caseload information in advance of the site visit, including information on the agencies internal tracking processes for ensuring that case manager and supervisor caseloads/workloads do not exceed the contract limits. Having this information in advance allows both a more focused inquiry regarding caseloads and some spot checking during the review.

Data was not included in the scoring sheets related to this requirement. However, this information was collected by PAR and provided separately for the private provider agencies monitored by PAR during the fiscal year 2010-11 monitoring period. One private provider had a finding of non-compliance on this requirement. All three case managers reviewed in this agency were over the caseload limit by one or two children.<sup>7</sup> PAR found no instances of non-compliance with the supervisor caseload limit.

### **D. Findings for Seven Agencies Subject to Licensing, But Not Scorecard, Review**

As discussed above, while eight private provider agencies were exempt from the Provider Scorecard and did not receive a PAR monitoring visit during this monitoring period, seven of those agencies had an annual monitoring review by the DCS Licensing Unit. These licensing reviews included reviews of personnel files, although the reviewers did not collect information in a format that parallels the Provider Scorecard.

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<sup>7</sup> As with all findings from PAR and Licensing reviews, this was addressed in corrective action directed at the specific caseload issues identified as well as strengthening supervisory oversight of caseload distribution.

Two private provider agencies had no findings related to personnel. Three private provider agencies had findings related to lack of adequate documentation of pre-service training hours; and one private provider agency had a finding related to pre-service training topics required by DCS Policy (although it was not clear whether the finding related to the failure to cover the particular topics or an inadequate number of training hours related to the topics).

One private provider agency had a finding for one case manager not having enough annual in-service training hours. One of the private provider agencies cited for lack of pre-service training hours also had a finding for the lack of documentation of two required internet registry screenings prior to the date of hire of one employee. Finally, another of the private provider agencies cited for lack of pre-service training hours also had the following finding related to personnel: “It is not clear that the agency has enough of the appropriately credentialed staff supervising the casework staff.”

## **E. Comparison of *Brian A.* Requirements and Licensing Rules**

The following table compares the personnel related requirements of Section V of the *Brian A.* Settlement Agreement (which PAR is now responsible for monitoring) with the personnel related state licensing requirements for child placing agencies licensed by DCS (which the DCS Licensing Unit is responsible for monitoring).

<b><i>Brian A.</i> Requirements</b>	<b>Licensing Rules</b>
All persons applying for positions...shall be required to submit to a criminal records check and abuse and neglect records screening before beginning training or employment (V.A)	No person shall be employed by the agency who has been convicted of any offense against children (0250-4-9-.04 (4) a)
Case managers 1 & 2 shall have a bachelors degree and case manager 3 shall have a bachelor's degree and two years experience or a master's degree and one year experience (V.B.1&2)	The caseworker shall have graduated from an accredited four-year college or university with either 27 hours in specified related fields or one year of casework experience can be substituted for the 27 hours (0250-4-9-.04 (5) d.2)
Case manager supervisors shall have a master's degree in social work or a related field and three years of experience as a case worker; an additional two years may be substituted for a master's degree (V.B.3)	Case worker supervisors shall have a master's degree in social work and two years experience or an equivalent degree and three years experience (0250-4-9-.04 (5) c.1)
No case manager shall be promoted until completing a job performance evaluation (V.C.1)	Copies of an annual evaluation of the quality of work done by the person while in the agency must be kept in his personnel records and done by an administrator or done by a supervisor and approved by an administrator (0250-4-9-.04 (2) b)



<b>Brian A. Requirements (continued)</b>	<b>Licensing Rules</b>
No case manager shall assume any responsibility for a case until completing pre-service training and passing a skills based competency test (V.C.2)	Within the first two weeks of working for an agency, each new employee must receive instruction related to child abuse detection, reporting and prevention. (0250-4-9-.04 (1)2 i) Agencies must provide new staff with an orientation program that acquaints the new staff with the agency (0250-4-9-.04 (3)a)
Supervisors must complete basic supervisory training and pass an assessment. It must begin within two weeks and be completed within six months of assuming the responsibilities (V.C.3)	Same rule as above
Case managers must receive a minimum of 160 hours of pre-service training, including instructional and supervised field training (V.D.1)	Same rule as above
Non-supervising case managers must receive a minimum of 40 hours annual in-service training (V.D.2)	Social work staff must have a minimum of six hours in-service training annually (0250-4-9-.04 (3)b)
New supervisors must receive a minimum of 40 hours in-service training directed at supervision...beginning within two weeks and completed within six months (V.D.3)	Same rule as above
Supervisors must have a minimum of 24 hours annual in-service training (V.D.4)	Same rule as above
The Department must ensure that every provider agency has a performance evaluation process...(V.I)	Copies of an annual evaluation of the quality of work done by the person while in the agency must be kept in his personnel records and done by an administrator or done by a supervisor and approved by an administrator (0250-4-9-.04 (2) b)
Caseloads: 15 for CM 1, 20 for non-supervising CM 2 or 3, 10 for CM3 supervising 1 or 2 CMs (V.J)	No comparable caseload rule
A CM 4 or TC may supervise 5 CMs and carry no caseloads, a CM3 may supervise 4 CMs (V.K)	Each full time supervisor may supervise no more than eight individuals (0250-4-9-.04 (5) c.2)

The DCS Licensing Unit also issues some licenses to providers operating congregate facilities, and those licenses do require that child care workers have a high school diploma or GED (comparable to Settlement Agreement V.O).

## **F. Partnership with the Vanderbilt Center of Excellence for Tracking and Analysis of PAR Data**

As discussed in Section Five, PAR is now responsible for monitoring private agency compliance with DCS policy and *Brian A.* requirements and the Licensing Unit reviews focus strictly on licensing requirements.

Through a contract with the Vanderbilt Center of Excellence (COE), PAR will be partnering with the Assessment of Services Quality (ASQ) program to more efficiently monitor private providers and improve the monitoring, reporting, and corrective action processes. Data generated by PAR will be entered into the COE “Redcap” system (a database owned by DCS but “housed” by the COE) as part of the Department’s collaboration with the COE to track and evaluate private provider performance.<sup>8</sup> The COE will produce reports and displays of the data for use in the PAR reports, and COE staff will participate with PAR staff in using the results in exit interviews with the providers after the monitoring review.

This process should make PAR data more readily accessible and better integrate the PAR work with other evaluation and oversight activities. It should also make aggregate reporting of data related to the specific personnel requirements of Section V of the Settlement Agreement more readily available.

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<sup>8</sup> PAR has worked with the COE to redesign the monitoring tools to ensure that they are capturing the relevant information in a useable format.

## **APPENDIX Q**

### **Report of Findings of the 2011 Section XI Review of Children in Care 15 Months or More with No Termination of Parental Rights Filed**

**REPORT OF FINDINGS OF THE 2011 SECTION XI REVIEW ON  
CHILDREN IN CARE 15 MONTHS OR MORE  
WITH NO TERMINATION OF PARENTAL RIGHTS FILED  
January 29, 2012**

**I. Introduction**

This targeted case file review was designed to gather information to help answer the following questions:

- For those children for whom termination of parental rights (TPR) is not filed at 15 months is the Department making appropriate compelling reasons findings for not filing TPR?
- In those cases in which a finding of compelling reasons is made at 15 months, is the Department periodically reviewing the determination and appropriately determining that there continue to be compelling reasons for not filing TPR?
- As soon as there are no longer compelling reasons, is the Department taking appropriate action to file TPR within a reasonable time?

The review, conducted by the Department's Office of Performance Excellence (OPE) in collaboration with the TAC monitoring staff, focused on a set of children who, according to the Mega Report, had been in care for 25 months or more without TPR having been filed against all those with a legally cognizable parental interest.

Each of the cases selected for review were examined to determine:

- whether there had been an appropriate finding of compelling reasons at 15 months;
- whether the case had been regularly reviewed since then;
- whether there were still compelling reasons for not filing TPR; and
- if not, whether appropriate action had been taken or was being taken to file TPR.

Finally, the review also focused on two subsets of cases which the Settlement Agreement designates for special attention by the Department's quality assurance division to ensure "*that appropriate action is taken with respect to those categories of cases*" (XI.E): children for whom sole or concurrent goal of return home has remained in effect for more than 24 months and for whom TPR has not been filed (XI.E.3); and children with a sole goal of adoption for more than 12 months for whom TPR had not been filed (XI.E.5).<sup>1</sup> The reviewer was asked to rate the

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<sup>1</sup> Also relevant to this subgroup is the Settlement requirement that TPR be filed within 90 days of the permanency goal becoming the sole goal of adoption "*unless there is a legal impediment, in which case the petition shall be filed*

overall quality of the casework, using relevant Quality Service Review (QSR) indicators as a frame of reference, and indicate whether “appropriate action” had been taken in the case.

## **II. Case Review Process**

The selection of cases for review began by identifying for each region using the Mega Report as of a specific date (November 11, 2010 Mega Report for Mid-Cumberland and January 20, 2011 Mega Report for the remaining regions) all children in that region who had been in care for 25 months or more without TPR having been filed. There were 118 children so identified by the Mega Report.

Because the Department was still in the process of testing and cleaning the Mega Report, there was an expectation that some children might be misidentified as having been in care for 25 months or more without TPR being filed. The reviewer found that to be the case for 33 of the 118 children whose cases were initially selected for review. TPR had in fact been filed on all relevant parents in 32 of those 33 cases prior to the date of the Mega Report; 15 of those 32 children were in fact already in full guardianship as of the date of the Mega Report and two were in partial guardianship. In the one case among those 33 misidentified cases in which TPR had not been filed, the child had exited to the custody of a relative prior to the date of the Mega Report.

The 85 children properly identified by the Mega Report as having been in care for 25 months or more without TPR having been filed included eight for whom TPR had been filed against one parent as of the date of the Mega Report and 77 for whom TPR had not been filed against any parent.<sup>2</sup>

Of those 85 children, 75 had a sole or concurrent goal of return to parent and three had a sole goal of adoption. Of the remaining cases, two children had a sole goal of exit custody to relative, one had concurrent goals of exit custody to relative and PPLA, one had a sole goal of PPLA, and one had a sole goal of permanent guardianship.

The reviews were conducted region by region over a five-month period beginning in November 2010 and ending in March 2011. These reviews included a review of both the working “hard copy” DCS case file and the TFACTS case file; and also included follow-up conversations in each case with the team leader and/or case manager (either via telephone or in person) assigned to the case.

The review protocol required the reviewer to gather information necessary to determine: whether there had been an appropriate finding of compelling reasons at 15 months; whether the case had been regularly reviewed since then; whether there were still compelling reasons for not filing TPR; and if not, whether appropriate action had been taken or was being taken to file TPR.

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*as soon as possible once the legal impediment is resolved.” (VIII.C.5.a.)* The existence of “compelling reasons” for not filing TPR would presumably constitute a “legal impediment” to filing.

<sup>2</sup> The 85 cases subject to review included at least three cases from each region, and involved 82 different case managers and 62 different team leaders.

The reviewer was also asked to use the QSR as a frame of reference (particularly the case planning and plan implementation indicators) and to rate the overall handling of each case reviewed either: as clearly acceptable (equivalent of a QSR score of 5 or 6) indicating consistent appropriate action in the case; as marginally acceptable, indicating generally good casework and no safety concerns, but some lapses in case practice over the course of the case (QSR score of 3 or 4); or as clearly unacceptable (equivalent of a QSR score of 1 or 2) indicating significant periods of lack of appropriate casework.

### **III. Findings**

#### ***A. General Findings with Respect to Compelling Reasons Requirement***

Both federal law and the terms of the Settlement Agreement (VIII.C.4) require that a TPR petition be filed no later than 15 months after the date the child was placed in DCS custody, unless there are compelling reasons for not doing so and those reasons are documented in the case file.

Case managers are expected to indicate a “finding” of compelling reasons by entering in TFACTS a date and a statement (in “case conference notes”) of the facts upon which the “finding” of compelling reasons was based. Those facts should provide a reasonable basis for concluding that the case meets one or more of the “compelling reasons” recognized by the Adoption and Safe Families Act of 1997 (AFSA)<sup>3</sup> and related Tennessee statutes.<sup>4</sup>

In each of the 85 cases reviewed, at the time that the child had been in care for 15 months, there had been compelling reasons for not filing TPR; and, in 81 (95%) of the cases reviewed, at the time of the review, there continued to be compelling reasons for not filing TPR.

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<sup>3</sup> Federal regulations as defined in 45 C.F.R. § 1356.21(i)(2)(ii)(A-D) provide that compelling reasons for not filing a petition to terminate parental rights include:

- 1) adoption is not the appropriate permanency goal for the child;
- 2) no grounds to file a petition to terminate parental rights exist (this can include cases where reunification is the goal; the child has a permanency goal other than adoption such as permanency with a kin/relative through guardianship and is expected to achieve that goal within 12 months of establishing the goal; the child objects to being adopted and is the legal age of 14 years to consent; the child has significant emotional and behavioral health challenges or a serious medical condition and reunification remains an appropriate goal; or the parent is terminally ill, does not want parental rights terminated, and has designated the child’s present caretaker);
- 3) the child is an unaccompanied refugee minor as defined in 45 Code of Federal Regulations 400.111; or
- 4) there are international legal obligations or compelling foreign policy reasons that would preclude terminating parental rights.

<sup>4</sup> Tennessee Code Annotated 36.1-113 provides, that at its option, the Department may determine that a petition to terminate the parental rights of the child’s parents shall not be filed (or, if such a petition has been filed by another party, shall not be required to seek to be joined as a party to the petition), if one of the following exists:

- 1) the child is being cared for by a relative;
- 2) the Department has documented in the permanency plan (which shall be available for court review) a compelling reason for determining that filing such a petition would not be in the best interests of the child; or
- 3) the Department has not made reasonable efforts under T.C.A. Section 37-1-166 to provide to the family of the child, consistent with the time period in the Department permanency plan, such services as the Department deems necessary for the safe return of the child to the child’s home.

Of those four cases for which, at the time of the review, there were no longer compelling reasons for not filing TPR, one child has since been adopted (in May 2011), one child is in full guardianship (as of July 2011), and one child was released to the custody of a relative (in October 2011). In the remaining case, involving a child with significant emotional and behavioral health challenges and a mother of very limited capacity, TPR had been filed on the mother prior to the date of the Mega Report, but had not been filed on the father. There did not appear to be any compelling reason for not having filed TPR against the father (who, unlike the mother, had not been actively involved with the child).

In 80 (94%) of the cases reviewed, the case had been periodically reviewed since the initial “compelling reasons” determination had been made. In those five cases in which reviews had not been occurring regularly, staff turnover and poor case file documentation, as well as a lack of familiarity by the current responsible case manager with prior case work, were the primary bases for the reviewers finding that there had been inadequate periodic review.

The facts supporting the finding of compelling reasons in the 81 cases for which there were still compelling reasons for not filing TPR as of the date of the Mega Report fell within one or more of the “compelling reasons categories” established by federal and state law according to the frequency:<sup>5</sup>

- In 43 (53%) cases, the child had significant emotional and behavioral health challenges or a serious medical condition and reunification remained an appropriate goal;
- in 33 (41%) cases, adoption was not the appropriate permanency goal for the child;
- in 31 (38%) cases, the child was 14 years or older and objected to being adopted;
- in 10 (12%) cases, the child had a permanency goal other than adoption (i.e., permanency with a kin/relative through guardianship and was expected to achieve that goal within 12 months of establishing the goal);
- in three (4%) cases, there were no or insufficient legal grounds for filing TPR because required reasonable efforts had not been made;
- in three (4%) cases the reviewer determined there were “other compelling reasons” not fitting within the categories listed above, but appropriate given the special circumstances of each case; and
- in one (1%) case, there were international legal obligations or compelling foreign policy reasons that would preclude terminating parental rights.

## ***B. Specific Findings with Respect to Section XI.E Subgroups***

The Settlement Agreement requires that “*the quality assurance division, utilizing aggregate data and case reviews as appropriate, shall be responsible for tracking, reporting and ensuring that appropriate action is taken with respect to...children with a permanency goal of return home that has remained in effect for more than 24 months (and)...children with a sole permanency*

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<sup>5</sup> Because some cases had more than one compelling reason for not filing TPR, the total number of compelling reasons exceeds the number of cases reviewed.

*goal of adoption for more than 12 months for whom a petition to terminate parental rights has not been filed.” (XIE.3, 5)*

As discussed in Section II above, the reviewer was asked to assess the overall quality of the casework on the cases reviewed as either “clearly acceptable” indicating consistent appropriate action in the case; marginally acceptable, indicating generally appropriate casework and no safety concerns, but some lapses in case practice over the course of the case; or unacceptable indicating significant periods of lack of appropriate casework.<sup>6</sup>

Most cases reviewed showed indications of acceptable practice happening in the life of the case along with the team leader and case manager’s ability to articulate successes and barriers regarding permanency. In a majority of the cases reviewed the case recordings in TFACTS were not sufficient for the reviewer to determine the depth and quality of the actual casework being done by DCS staff.

Of the 85 cases reviewed, 75 involved children who had a sole or concurrent goal of return to parent that had remained in effect for more than 24 months.<sup>7</sup> The reviewer rated overall practice as “clearly acceptable” in 65 of these cases and “marginally acceptable” in the remaining 10.

Of the 85 cases reviewed, three involved children with a sole goal of adoption. In those cases, there continued to be compelling reasons for not filing TPR: each child objected to TPR, did not wish to be adopted, and continued to express an intention to return to his family. The reviewer rated overall practice in all three cases as “clearly acceptable.”

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<sup>6</sup> Among the considerations that the reviewer used to rate overall casework quality were: the consistency of casework throughout the case (absence of gaps in case activity, evidence of periodic reviews); whether there was a reasonable basis for findings of compelling reasons for not filing TPR; whether appropriate actions were taken to move to TPR when compelling reasons expired; whether reasonable steps were taken to get TPR case heard and decided; and whether there was evidence of reasonable efforts to overcome any barriers to permanency; and the level of familiarity of the supervisor with the facts and circumstances (past and present) of the case.

<sup>7</sup> For 71 of those children there continued to be compelling reasons for not filing TPR; the remaining four were those children, discussed in Subsection A above, for whom compelling reasons no longer existed.



## **APPENDIX R**

### **Resource Parent Exit Interview Report**

**REPORT OF RESULTS OF EXIT INTERVIEWS OF FORMER RESOURCE PARENTS  
FOR THE PERIOD JANUARY-JUNE 2011  
January 21, 2012**

**Introduction**

The *Brian A. Settlement Agreement* requires that the Department “*conduct exit interviews with all resource families who voluntarily resign as resource parents, and...issue annual reports on why resource families leave DCS and what steps are necessary to ensure their retention.*” (IX.B.3)

The Department of Children’s Services (DCS) has used its own staff to conduct exit interviews and has also experimented with contracting with a private agency to conduct the interviews. The most recent set of exit interviews (for resource parents who terminated their resource parent relationships with the Department during the first half of calendar year 2011) were conducted by the Technical Assistance Committee (TAC) monitoring staff, in collaboration with the Department’s Foster Care and Adoption Division.

Based on the combined experience of those who have been involved in conducting these exit interviews over the past several years (Department staff, private provider staff, and TAC monitoring staff), it is not clear that the value of the information ultimately gained from the present exit interview process (which involves attempting to interview every resource parent who voluntarily exits) is worth the time and effort involved. It appears that a different structure or approach might better achieve the ultimate goal of the Settlement Agreement provision: improving resource parent retention.

As has been the case in previous years, TAC monitoring staff confronted a variety of difficulties in conducting the interviews: resource parents who moved and/or changed their phone numbers; resource parents who could not be reached (even with staff making evening phone calls and leaving voice mail messages); and resource parents who were reached but declined to be interviewed. TAC monitoring staff succeeded in interviewing less than 30% of the exiting resource parents identified and there is no basis for assuming that the experiences of those interviewed were representative of the experiences of all those who exited.

For those resource parents with whom TAC monitoring staff were able to complete exit interviews, interviewers focused on getting information related to the two core questions: why the families interviewed left the Department and what, if anything, the Department could have done to retain them.<sup>1</sup> However, 78% of the former resource parents interviewed gave reasons for leaving that were not connected to anything the Department did wrong or could have done better and therefore there was nothing the Department could have done to retain them as resource

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<sup>1</sup> While the interviewers were able in each case to get information about the resource parent’s reason for leaving DCS, the breadth and depth of the interviews varied. Some of those interviewed were limited in the amount of time they were willing or able to spend on the phone and interviewers often found it necessary to defer to the interviewees judgment about what aspect of their experience they felt most important to communicate in the time available.

parents. Some left because they adopted the children in their care; some were kinship resource parents who served only as long as their kin needed them to; and others had developments in their personal lives (death, divorce, relocation) that forced them to stop fostering. Those in this group were not uniformly positive about their experience with the Department (some fostered despite, not because of, the way they felt they were treated by the Department), but how they were treated by the Department was not a factor in their decision to no longer foster children.

For those who expressed dissatisfaction with their fostering experience with the Department as the determining factor in their decision to no longer serve as resource parents, there were some frequently occurring themes—poor communication about the case, unresponsiveness or rudeness of particular staff, failure to pursue what the resource parent saw as the best interests of the children involved. However, the information tended to be very “case specific”—to an experience with particular children; to the circumstances surrounding that case; and/or to a specific staff member involved—and therefore not easily generalized into some more systemic problem susceptible of some kind of strategic systemic response. And in at least five cases in which families expressed dissatisfaction with their fostering experience with the Department as the reason they stopped fostering, those families nevertheless praised the support they received from specific Department staff (Resource Parent Support workers [RPS] and/or Family Service Workers [FSW]). For example, one of these former resource parents remarked of one worker: “he’s a big part of the reason I stayed for so long;” “if I needed something he helped, called, came by, e-mailed, kept me informed;” “he was so encouraging”).

It seems reasonable to assume that better communication with, responsiveness to, and/or support for a resource parent when problems arise would improve prospects for retention, but one does not necessarily need to conduct exit interviews to reach this conclusion—and regular surveys of current resource parents rather than interviews of exiting parents might be a better way of getting information about what is not working well for specific resource parents and enable staff to respond earlier to specific situations or systemic issues that emerge.

The Department has recently been utilizing online surveys to get feedback from staff and stakeholders and is considering ways in which such surveys might be used to get actionable feedback from current and former resource parents. Incorporating the “exit interview” process into a regularly conducted online survey—providing exiting (as well as current) resource parents with an opportunity to provide anonymous feedback through an online survey and allowing them to identify themselves if they would be willing to speak further with a Department representative about any specific concerns or suggestions they have—might provide a more efficient and effective way of meeting both the “exit interview” requirement of the Settlement and, more importantly, achieving the goal of getting timely information that could be used to improve retention of those currently serving as resource parents.

## Methodology

TAC monitoring staff used “Closed Resource Homes Detail” reports to identify all DCS resource homes that voluntarily closed between January 1 and June 30, 2011.<sup>2</sup> A total of 207 homes remained on the ‘to be interviewed’ list after the reports were cleaned for closure reasons, excluding private provider homes, and excluding homes that were never fully approved.<sup>3</sup> TAC monitoring staff called all 207 homes and completed phone interviews with 59 former resource parents.<sup>4</sup> The table below shows the number of resource parents interviewed by region.

Region	Number
Davidson	6
East	3
Knox	7
Mid-Cumberland	8
Northeast	7
Northwest	2
South Central	4
Shelby	2
Smoky Mountain	7
Southwest	1
Tennessee Valley	9
Upper Cumberland	3
<b>Total</b>	<b>59</b>

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<sup>2</sup> “Closure Reason” (entered by Department staff and listed on the report) was used to determine which homes voluntarily closed. TAC monitoring staff considered the following DCS categories of “closure reasons” to indicate that the home closed “voluntarily”: Change in family circumstances prevents them from continuing to foster at this time; Family has adopted and is selecting out of foster care; Family has decided not to foster at this time; Feeling disrespected by DCS; Inability to cope with children’s behaviors due to child no fault of resource parent’s coping skills; DCS not disclosing all known information about the children prior to placement; Family asks to cease contact; Lack of training offered by DCS; The family had placement preferences that do not meet the Department’s needs at this time; Lack of agency support; Family can no longer be reached; and Feeling a lack of input to permanency planning for children.

<sup>3</sup> TAC monitoring staff looked up all DCS homes with voluntary closures in TFACTS to see if the homes ever reached full approval. Reporting from TFACTS did not differentiate between closed homes and closed “inquiries” or prospective resource parents who were closed in the system before ever reaching full approval (not including expedited approval) during this time. Once the problem was identified and the homes were researched, TAC monitoring staff only attempted to call homes that had reached approval status.

<sup>4</sup> TAC monitoring staff identified an additional 33 wrong or disconnected phone numbers. Seven people who were reached by telephone declined to participate in the survey.

## Findings

Closure Reason According to Resource Parent	Number
Adoption	18
Negative experience with DCS	13
Kin/ Relative Only	11
Personal Reasons	11
Training Requirements were too strenuous	3
DCS chose to close their home	3

The vast majority of former resource parents interviewed cited reasons other than dissatisfaction with the Department as the basis for their decisions to stop fostering. For 46 of those interviewed, the reasons given do not reflect negatively on the Department.<sup>5</sup>

The most common closure reason cited by those interviewed was adoption. In these 18 cases, the resource parents either said that they closed their home voluntarily to focus on their adopted child or that their home was too full to continue fostering after adopting.

Eleven resource parents stated that they only became resource parents to care for kin and that they therefore closed their homes once there was no longer a need to serve as a kinship resource home. And another 11 homes closed for “personal reasons:” changes in family status (divorce or death of spouse), changes in employment or work schedule, or moving.

Three resource parents said that the training requirements for annual recertification were too strenuous (particularly if one of the parents had a demanding work schedule and could not attend the scheduled classes in person).<sup>6</sup> Three resource parents stated that they had been willing to continue to serve as resource parents, but that the Department chose to close their home.

The remaining 13 of the former resource parents interviewed cited frustrations or dissatisfaction with their experience fostering with the Department as the main reason for closing their home. The four most common sources of dissatisfaction were: disagreements about what was in the best

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<sup>5</sup> The reasons listed are the main reason cited by the resource parent during the interview, regardless of the closure reason entered into TFACTS.

<sup>6</sup> While some resource parents said that information provided in Parents as Tender Healers (PATH) was common sense, most of the resource parents interviewed found PATH to be helpful and particularly emphasized that the resource parent panel was helpful. Most resource parents interviewed understood the requirement for ongoing training and viewed it as comparable to what many professions require as a condition of continued certification or licensing. However, while most resource parents found the PATH training (especially the PATH resource parent panel session) to be helpful, very few resource parents found the training required after PATH to be helpful. Many commented that the ongoing training was inconvenient (times and locations); that it was hard to get a listing of available trainings; that training should provide child care; that training should be offered online; that the training offered was not relevant to the children they were fostering (training about the school system, when they did not have school-age children or about administering medication when the children they were fostering were not taking medication).

interest of the child; frustration with the slowness of the court process; a lack of communication, and rude and unprofessional treatment by one or more Department staff persons.

A little over two-thirds of those interviewed had no significant complaints about their experience with the Department while serving as resource parents. (While only 13 of the resource parents interviewed cited dissatisfaction with the Department as the basis for their decisions to stop fostering, an additional six had significant complaints about some aspect of their experience with the Department.)

## **APPENDIX S**

### **DCS TFACTS Assessment Executive Summary**

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# TFACTS ASSESSMENT

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## I. Executive Summary

### Introduction

In January 2011, the newly appointed DCS Commissioner started receiving numerous complaints from DCS staff, Regional Administrators and case workers regarding the problems they were having with the Tennessee Family and Child Tracking System (TFACTS). The IT Executive Director for DCS characterized the reported issues as minor “growing pains” that was normal for new systems and downplayed any problems. However, complaints continued to such a degree that the DCS Commissioner included her concerns to the Governor during the budget hearings in early February. During February the Commissioner reached out to some external agencies for input on their Statewide Automated Child Welfare Information System (SACWIS) developments to include the Casey Family Programs Foundation and the State of New Jersey for recommendations. During April, the Commissioner also reached out to the Chief Information Officer for guidance. He met with the DCS IT Executive Director and received the same assurances that the TFACTS “growing pains” issues were being worked and being corrected.

In May 2011 an article was published in the Tennessean regarding late payments to foster care providers. Another article was published in the Tennessean during June 2011. At that point, the DCS Commissioner met with some of the “front-line” TFACTS staff regarding the state of TFACTS. Comments from those sessions prompted a request to the CIO for a dedicated resource to provide an assessment of the TFACTS. In late October Lee Gregory was hired by the CIO and made available to the DCS Commissioner to conduct the assessment. This Executive Summary is the findings from that assessment conducted during November and December 2011.

Lee Gregory has over 35 years experience in leading and managing Information Technology programs, projects and organizations. As a State employee from October 2006 until August 2010 he worked for the CIO in a number of Director level positions. In early to mid-2007, Lee worked with DCS in putting the SACWIS Request for Proposal (RFP) together and during the TFACTS development attended the Steering Committee Meetings with the CIO, or attended when the CIO could not attend. In July 2010, the CIO sent Lee down to work with the TFACTS project team prior to his departure from State service in late August 2010 to assist with the Pilot and transition to State-wide implementation. There was little learning curve required for Lee as he was already intimately familiar with what TFACTS was suppose to deliver to DCS and the State.

### Historical Background

When DCS was created in 1996, they inherited 3 legacy information systems. These systems were substandard and needed upgrade to support management data collection and decision making. In 1993 the Federal Government had established a Statewide Automated Child Welfare Information System (SACWIS) program (Public Law 103-66) that provided 75% funding through 1997 to plan, design, develop and implement a SACWIS, and 50% Federal Financial Participation (FFP) funds after that period. In 1997 the decision was made that DCS would implement a SACWIS to replace the 3 legacy information systems. This project, which became known as TNKids, was approved and work began.



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# TFACTS ASSESSMENT

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TNKids was developed “in-house” and deployed statewide in 2000. After 6 years and a number of enhancements, the TNKids had still not met the requirements for Federal SACWIS compliance. In 2006, the decision was made to transition to a family-centric practice model. The framework of TNKids was child-centric based. In addition to TNKids, there were a dozen other stand-alone systems that DCS was using to support children services. The TNKids was built in PowerBuilder. PowerBuilder has a limited technical capability that was not sufficient to be used to meet the new family-centered practice model, to meet Federal SACWIS compliance, or to develop a comprehensive case-management tool that incorporates the other stand-alone systems in use by DCS. As a result, DCS decided to develop a new SACWIS application (TFACTS) in newer technologies that were in compliance with the State’s Enterprise Architecture.

In early 2006 the DCS began a comprehensive business process reengineering (BPR) effort to design the new family-centric practice model and develop high-level requirements for the new SACWIS. This effort culminated in the Federal approval of the DCS Advanced Planning Document in April 2007 and FFP for the new project. A Request for Proposal was developed and bids submitted from 3 vendors – IBM, Compuware and Dynamics Research Corporation (DRC). DRC was the winning bidder and began work on TFACTS in mid-April 2008. The development of TFACTS (customization of the Ohio SACWIS) took approximately 29 months and was implemented in late-August 2010. A 1-year warranty/maintenance period followed.

## Assessment Overview

The Department of Children’s Services (DCS) is experiencing serious and significant challenges with the functionality and ability of its staff to operate and maintain the Tennessee Family and Child Tracking System (TFACTS). This initial assessment of those challenges was compiled after a review of available documentation and interviews with DCS staff who were involved in the development and implementation of the TFACTS. For ease of reference, [Appendix A](#) is a diagram of the major business processes that TFACTS supports and functionality of the system;

[Appendix B](#) is a compilation of the TFACTS Challenges with their underlying contributing causes in a single Fishbone Diagram; and [Appendix C](#) is an assessment finding summary consisting of a list of the assessment findings, their corresponding actions to be accomplished, the individual responsible, when the action will be completed, and a current status.

In addition, while the assessment was ongoing, and as issues were identified, the DCS Commissioner did not wait for the assessment to complete to start taking action. Since October 2011, the following has been accomplished or initiated.

- Began working with the TFACTS “Super Users” in the field to begin addressing the deficient TFACTS training that staff received during development;
- Met with the Ohio SACWIS project team to collaborate on what they initiated to “fix” their financial module, and have established a working relationship to share code from both systems moving forward to reduce the development time to repair.
- Requested and received approval for a contract with Compuware to assess the TFACTS modules and code generated with the OptimalJ modeling tool. OptimalJ is the tool used by Ohio that is being used successfully with no issues. The Compuware assessment for DCS is ongoing, but initial indications are that the OptimalJ tool is not deficient, just how it was used (or not used in some cases) to develop the TFACTS models and code. A report of the assessment is due in February.

# TFACTS ASSESSMENT

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- A review of DCS IT staff was conducted resulting in recommendations to replace a number of staff in leadership positions, as well as moving staff to other positions that their background, skills and experience are more suited for. In addition, a recruitment effort is ongoing to hire the staff with the necessary skills and experience to operate and maintain the TFACTS and the new technologies it has brought to DCS.
- We have initiated major defect / enhancements to TFACTS to include Case Recordings (January Release); Fiscal Defects Bundle (February Release); Placement Corrections (March Release); and Court Re-Design (April Release).

## Assessment Findings

Based upon the input received from discussions with DCS staff and analysis of TFACTS related documentation, the assessment found 10 major contributing areas that have impacted the functionality and ability to operate and maintain the TFACTS.

The assessment determined that there were:

- Inadequate Requirements Definition
- Inadequate Management Oversight
- Process Deficiencies
- Deficient Functionality
- Deficient OptimalJ Code
- Deficient Training
- Deficient Customer Support
- Inadequate Data Conversion
- Deficient Data Warehouse
- Deficient Staff Skills

## Inadequate Requirements Definition

The assessment found that there was inadequate requirements definition during the planning phase for the TFACTS, particularly with Financial Management, that has caused significant deficiencies in needed functionality.

Poor or inadequate requirements definition is one of the leading causes of project failure. In the TFACTS case, inadequate requirements definition has led to 1) development of functionality that does not totally meet the business needs of DCS, 2) a lack of development of functionality that is required, and 3) development of sufficient safeguards (i.e., guardrails) to prevent users from entering data incorrectly. However, it must be noted that DCS did conduct an extensive (9-month) Business Process Reengineering (BPR) and Process Mapping exercise which resulted in documentation of requirements in the majority of the functional areas required in the TFACTS. The major failing for requirements definition was in leaving out of the BPR process, and documenting detailed requirements for, one of the most important functional areas required of the TFACTS – Financial Management.

There were 7 findings in the Inadequate Requirements Definition area that included:

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# TFACTS ASSESSMENT

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- Lack of Financial Team Participation During Requirements Development
- Lack of Specificity in Writing Requirements
- Federal Input Altered Requirements (What vs. How)
- Lack of Guardrails in TFACTS
- Dysfunctional RDD / JAD Sessions
- Changes In-Flight made during TFACTS Development
- Insufficient End-User Input / Buy-In

## Inadequate Management Oversight

The assessment found that there was Inadequate Management Oversight during the development and implementation of the TFACTS that lead to a lack of overall quality in the TFACTS product. Effective management oversight and accountability is a key component of any successful endeavor. The TFACTS project was no different. Despite Executive Steering Committee meetings and reviews, contracting with an Independent Verification and Validation (IV&V) Vendor, monthly Federal (ACF) status meetings and updates, and three project management resources / staffs (DCS, OIR & DRC), there were some key management missteps that contributed to the challenges that TFACTS faces today.

There were 12 findings in the Inadequate Management Oversight area that included:

- Lack of Financial Management Participation
- Lack of Adequate Project Management
- Lack of Effective Data Management
- Inadequate Application Management
- Inadequate Customer Support Management
- Inadequate Configuration Management
- Inadequate Release Management
- Best Practices Were Not Followed
- Lack of Adequate Quality Management
- Inadequate Risk Management
- Lack of Issue / Action Item Management
- Inadequate Hotline Log

## Process Deficiencies

The assessment found that there were Process Deficiencies that had a significant impact on the efficiency of the development and implementation of the TFACTS. Processes within the OIS organization are unpredictable, poorly controlled and reactive. The process deficiencies of the OIS organization are reflective of the deficiencies related to the TFACTS functionality and its implementation. To fix TFACTS and the OIS organization as a whole will require that process deficiencies be fixed within OIS as well.

There were 11 findings in the Process Deficiencies area that included:

- Lack of Negotiation Process
- RFP / Contract Not Always Followed
- Poor Defect Prioritization and Maintenance
- Deficient Problem Escalation
- Contract Requirement Changes Not Formally Documented
- Use of Off-shore / Off-site Development Created Development Problems

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# TFACTS ASSESSMENT

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- Inconsistent Development Standards Employed
- Inadequate Test Processes
- Lack of Readiness / Support Processes
- Inefficient Software Build Process
- Failure to Follow QA / IV&V Recommendations

## Deficient Functionality

The assessment has found that the TFACTS has Deficient Functionality that has impacted the staff's ability to effectively and efficiently perform their duties and responsibilities. There are a number of causes for deficient functionality in TFACTS. Most can be attributed to poor requirements definition, inadequate management oversight, and deficient processes. A barometer of deficient functionality is found in the number of defects, enhancements, workarounds, and fix-it scripts.

There were 27 findings in the Deficient Functionality area that included:

- Excessive # of Defects / Enhancements Pending
- Excessive # of Functional Deficiency Workarounds
- Excessive # of Fix It Scripts
- I-3 Phone Interface Not Working in TFACTS
- On-Line Help Not Very Helpful
- Checklists Not Developed
- CPS Intake / Investigation Deficient Functionality
- Case Recordings Deficient Functionality
- Assessments Deficient Functionality
- Permanency Plan Deficient Functionality
- Court / Juvenile Justice Deficient Functionality
- Adoption Deficient Functionality
- Placement Authorization / Reauthorization Deficient Functionality
- Financial Management Deficient Functionality
- Resource Home Recruitment, Inquiry, Approval Deficient Functionality
- TFACTS Security Deficient Functionality
- Assignment Deficient Functionality
- Approval Process Deficient Functionality
- Notifications / Alerts Deficient Functionality
- Reports / Forms Deficient Functionality
- Deficient OptimalJ Models / Code
- Deficient Data Warehouse
- Deficient Search Capability
- Lack of Mobile Integration
- Lack of DOE TCM Interface
- Finalists - GIS Conflicts
- Deficient Audit Capability
- Deficient Foster Care Phone-In Interface

## Deficient OptimalJ Code

The assessment found that there is Deficient OptimalJ Code which has led to numerous and significant technical issues, to include potential data integrity violations, and preventing major functional enhancements from being made.

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## TFACTS ASSESSMENT

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OptimalJ is a Compuware proprietary tool for model driven architecture (MDA) Java code development. The Contract Vendor proposed the use of OptimalJ in their proposal and requested and received an exception to the State standard for its use during the Written Comments period of the Procurement Process. Version 3.3 of OptimalJ was used for the Ohio SACWIS, which was the transfer system that the Contract Vendor used to customize for the TFACTS. The Vendor stated in their proposal that 90% of the code was automatically generated using this tool for the development of the Ohio SACWIS. For TFACTS, the Vendor converted the Ohio SACWIS from OptimalJ Version 3.3 to Version 4.3.

After the contract started, the Vendor notified the State that OptimalJ was going to be discontinued by Compuware and no further updates or enhancements would be made to the tool. The OptimalJ tool was still available for use but maintenance agreements would not be renewed after current maintenance agreements expired. DCS made the decision to stay with the OptimalJ Modeling tool because it was one of the best J2EE modeling tools currently in use and that it would take longer to develop TFACTS due to the amount of time necessary to re-code the Ohio SACWIS into another MDA tool.

There were 7 findings in the Deficient OptimalJ Code area that included:

- Lack of Constraints in Domain Models
- Domain Models Not built Correctly
- Domain Models Do Not Update
- Missing or Incorrect Domain Classes
- Data / Referential Integrity Issues
- Stored Procedures By-pass OptimalJ
- Solution Locks State into Old Java / Jboss / EJB Versions

### Deficient Training

The assessment found that there was Deficient Training of the TFACTS which has resulted in poor user execution and lack of knowledge required to efficiently operate and maintain the System.

Effective and sufficient training is essential for end users to understand the functionality and capabilities of the TFACTS, as well as OIS technical and operations staff to be able to provide adequate operational support for the TFACTS.

The Contract required the Vendor to establish skill prerequisites, define skill levels and develop and deliver three types / sets of training:

- Train the DCS user staff trainers who would train staff in the regions on how to use TFACTS
- Train State Technical and Operations staff
- Train the State Acceptance Test Team

A training plan was to be produced and the training sessions would cover appropriate documentation in the Quick Reference Guide, User Manual, Operations Manual, etc.

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# TFACTS ASSESSMENT

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Training of TFACTS end users was provided by TCCW (a separate DCS training contract). The TCCW trainers did not have sufficient training or expertise in TFACTS to be of much help to students undergoing the 2-day TFACTS orientation / navigational training.

There were 6 findings in the Deficient Training area that included:

- Insufficient User Training
- Insufficient Technical Training
- Insufficient Knowledge Transfer
- Insufficient Training Aids
- Insufficient Training Environments
- Lack of Help Desk Training

## Deficient Customer Support

The assessment found that there was deficient customer support provided by an Inadequate Help Desk. The Help Desk has not provided the necessary assistance to end users during Implementation and for current operations.

The DCS Help Desk with its current management, staff and skill sets is providing little value to DCS. Customers will by-pass the help desk whenever possible by calling contacts on the TFACTS business analysts or desktop support teams. They have gained a reputation for not being customer friendly / focused and are not much more than a telephone answering system to record a remedy ticket.

There were 7 findings in the Deficient Customer Support area that included:

- Lack of Customer Focus
- Inadequate or No TFACTS Help Desk Training
- Inadequately Staffed Help Desk
- Too Much Reliance on CO-OP Students
- No Help Desk Service Level Agreements
- Excessive Response and Resolution Time
- Ineffective use of the Remedy Help Desk Software

## Inadequate Data Conversion

The assessment found that there was an Inadequate Data Conversion which has resulted in missing data or inaccurate data requiring data fixes. TFACTS is only as good as the data that is entered into the system and the information that can be derived from it. During the Implementation of TFACTS a data conversion was done just prior to Pilot. A second “catch-up” data conversion was planned immediately after pilot, but never conducted.

There were 4 findings in the Inadequate Data Conversion area that included:

- Flawed Conversion Script
- Poor Data Validation Execution
- No Catch-Up Conversion
- Missing Data (FoxPro Applications)

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# TFACTS ASSESSMENT

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## Deficient Data Warehouse

The assessment found that there is a Deficient Data Warehouse which has resulted in a lack of required reports capability, production of inaccurate reports, and the inability to use the Business Intelligence / Analytics tool with the Data Warehouse.

The Data Warehouse was not a requirement in the Request for Proposal / Contract. Instead, the Contract Vendor proposed a data warehouse with 5 data marts as part of their proposed solution. At some point during the TFACTS development, the State determined that the Data Warehouse as proposed by the Contract Vendor was not going to be sufficient to meet its business needs and requested that the Data Warehouse be re-designed and built with 16 data marts. This resulted in a contract change request – CR 358 for an additional cost of \$1,134,610.

There were 12 findings in the Deficient Data Warehouse area that included:

- Poorly Designed Data Warehouse
- Poorly Constructed Data Warehouse
- Inadequate Data Warehouse Staff Resources
- Inadequate Data Warehouse Staff Skills
- Data Warehouse Implemented After Go-Live
- Unusable Business Intelligence Tool
- Queries Take Hours
- Lack of Micro Strategy Licenses
- Missing Data (Conversion)
- Missing Data (End User Input)
- Inaccurate Data (End User Input)
- Reports Not Developed

## Deficient Staff Skills

The assessment found that there is a Lack of Required Skill Sets required for maintaining new technologies introduced with the development and implementation of the TFACTS.

The DCS OIS organization does not have the right people with the right skills in the right place (positions) to afford itself of the best opportunity to be successful.

Throughout the TFACTS project, both the State and Vendor struggled to place appropriately skilled resources in key positions. At project kickoff, many of the staff proposed by the TFACTS Vendor to fill key positions were not delivered to the project and subsequently replaced with lesser skilled resources, some of which did not possess the requisite skills to perform their job. On the State side the DCS OIS organization were assigned to manage / drive this project to completion. In many cases, the OIS staff did not have prior implementation experience and / or experience working with a third party implementation vendor. At times, these limitations negatively affected the project in that resources lacked experience / confidence to challenge one another when not in agreement with the other party.

## **TFACTS ASSESSMENT**

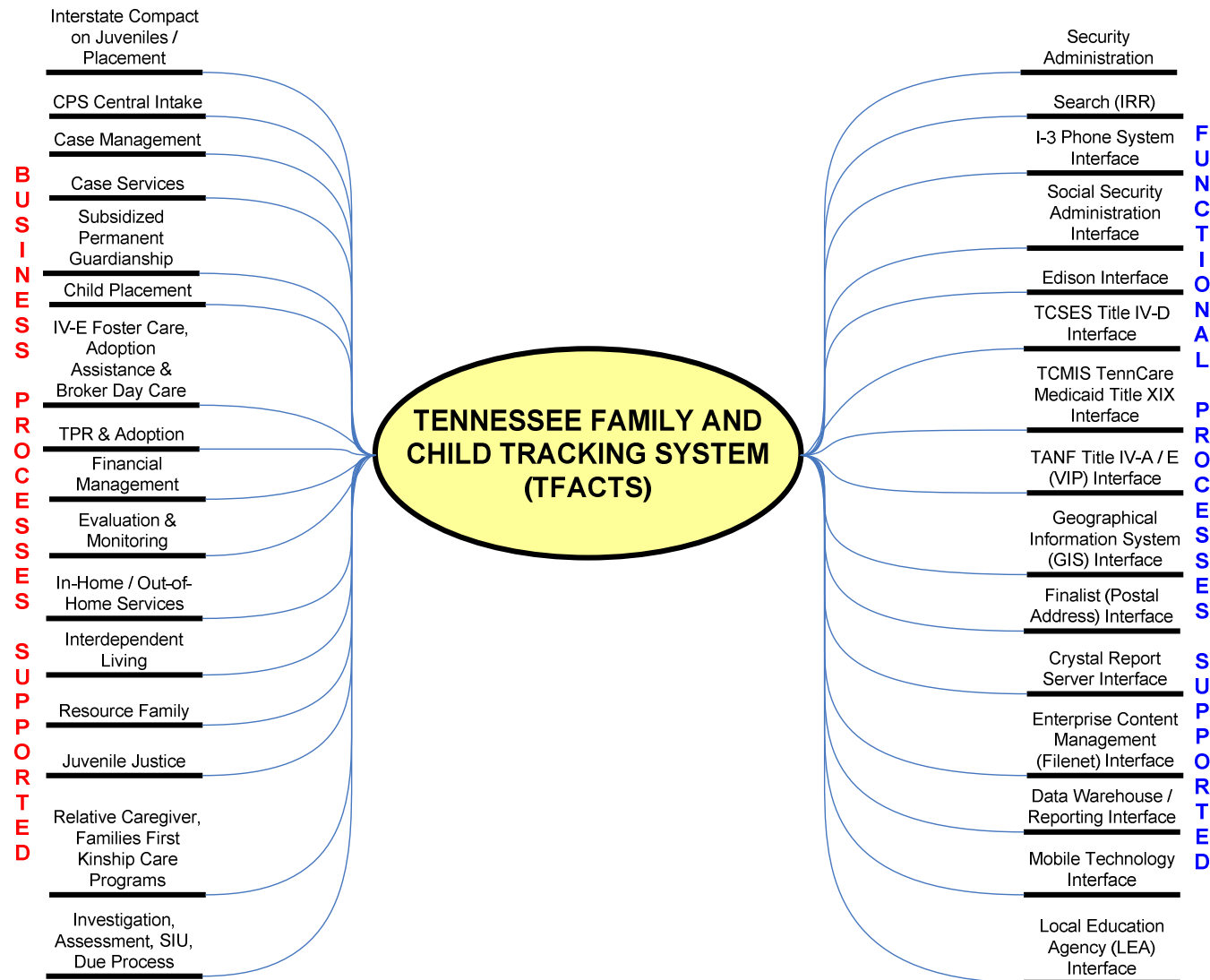
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There were 11 findings in the Deficient Staff Skills area that included:

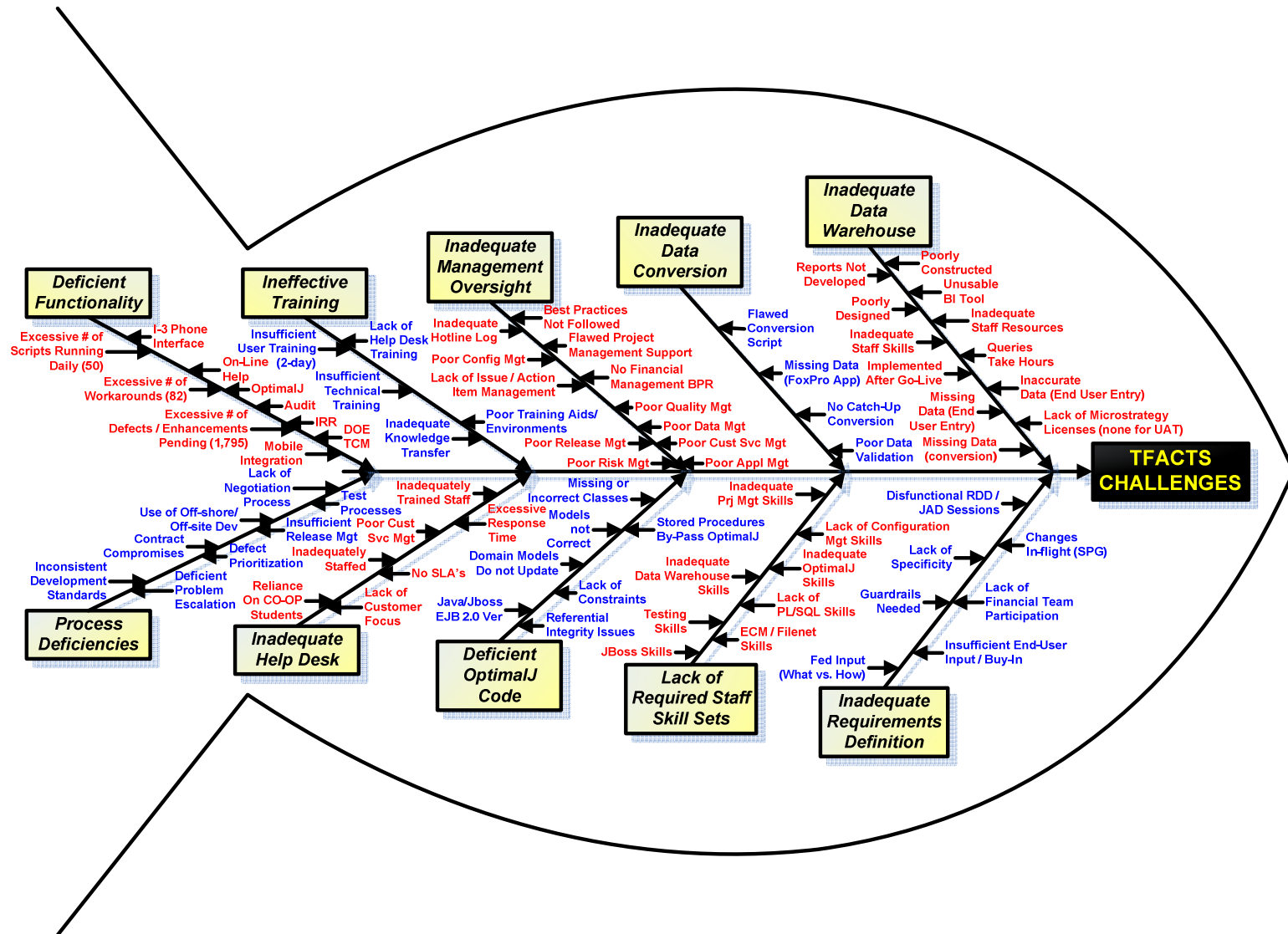
- Inadequate Data Warehouse Skills
- Inadequate Data Conversion Expertise
- Inadequate Project Management Skills
- Inadequate Testing Skills
- Inadequate OptimalJ Skills
- Lack of PL / SQL Skills
- Lack of Enterprise Content Management / FileNet Skills
- Lack of Crystal Report Skills
- Lack of SharePoint Expertise
- General Lack of Supervisory / Managerial Expertise
- Lack of Help Desk Skills



## II. Appendix A – TFACTS High-Level Business Processes / Functionality



### III. Appendix B – Fishbone Diagram



## IV. Appendix C – Assessment Finding Summary

Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete	
Inadequate Requirements Definition	Lack of Financial Team Participation During Requirements Development	Financial Team did not participate in BPR / Process Mapping leading to inadequate financial requirements	No Financial updates to TFACTS w/out Financial Mgt Team participation in RDD / JAD sessions	Each Time	Deputy Comm	Ongoing Action
	Lack of Specificity in Writing Requirements	OIS BA's do not write requirements well - they lack specificity & creates misunderstanding between OIS & Contract Vendor	Train BA's on writing good requirements (SMART), then review future requirements docs for compliance	1st QTR	Dir App Mgt	Schedule for Feb 2012
	Federal Input Altered Requirements (What vs. How)	Federal ACF input made requirements less specific causing misinterpretations of State needs with the Contract Vendor	In the future, OIS will not change its requirements based on federal input if not in the best interests of DCS	Each Time	Deputy Comm	Ongoing Action
	Lack of Guardrails in TFACTS	Lack of Business Rules (Guardrails) for data entry in some areas of TFACTS has end users not inputting data or incorrectly entering data	With each TFACTS module update, insert guardrails where needed. 1st update is Case Recordings in Feb 2012	1st QTR	Dir App Mgt	Case Recordings in Test Now
	Dysfunctional RDD / JAD Sessions	RDD / JAD sessions were not led effectively, specifically Financial Mgt (Team 4), producing less than desired results	Future RDD / JAD sessions will be led by an experienced Senior BA / Mgr	Each Time	Dir App Mgt	Ongoing Action
	Changes In-Flight made during TFACTS Development	New fed requirements changed Fostering Connections / SPG. Without enhancements, SPG cannot be used in TFACTS.	Schedule RDD / JAD for SPG, develop solution & implement in TFACTS	3rd QTR	Dir App Mgt	Schedule in Release Plan
	Insufficient End-user Input / Buy-In	End users were included in BPR / requirements dev sessions. More input was needed after functionality was developed to ensure acceptability.	Include reps from field staff during User Acceptance Testing of major updates to TFACTS to ensure customer needs are met.	Each Time	Dir App Mgt	Ongoing Action

Inadequate Management Oversight	Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete
	Lack of Financial Management Participation	Financial Mgt processes / work flows / requirements were not developed adequately	Schedule BPR sessions with Financial Mgt to document processes / work flows	3rd QTR	Dir App Mgt	Schedule for Sep 2012
	Lack of Adequate Project Management	Project Management was less than adequate during TFACTS development. There is currently no project management in OIS to effectively manage ongoing TFACTS dev / other projects	Hire a Director of Project Mgmt to plan, execute, monitor & control projects within OIS	1st QTR	Deputy Comm	Exec Svc Appt Pend
	Lack of Effective Data Management	Issues existed during TFACTS dev & still exist with data conversion, data warehouse, database administration and data admin	Hire a Director of Data Mgmt to plan, execute, monitor & control all data activities in support of DCS customers	1st QTR	Deputy Comm	Exec Svc Appt Pend
	Inadequate Application Management	Poor oversight existed during TFACTS dev & still exists with business analysis support / defects / enhancements / OptimaIJ modeling / build releases / config mgt / QA-Test	Hire a Director of Application Mgmt to plan, execute, monitor & control business analysis, S/W dev, & QA/Test activities for OIS / DCS	1st QTR	Deputy Comm	Exec Svc Appt Pend
	Inadequate Customer Support Management	Issues existed during TFACTS dev & still exists with customer service / help desk support / general accountability & oversight	Hire a Director of Customer Service to plan, execute, monitor & control TFACTS & Help Desk Service Spt	1st QTR	Deputy Comm	Resource Id'd & interviewed
	Inadequate Configuration Management	Software configuration management does not exist in OIS leading to poor documentation & deployment of deficient TFACTS functionality	Develop SCM processes & appoint a Configuration Mgr to conduct config ID, change control, status acting, audits	1st QTR	Deputy Comm	Resource Id'd for appt
	Inadequate Release Management	There is poor release management resulting in faulty s/w builds & corrupt components released to the TFACTS prod environment	Develop Release Management processes & procedures & appoint a Release Manager for oversight	1st QTR	Deputy Comm	Resource Id'd for appt
	Best Practices Were Not Followed	Industry best practices were not followed during the development & Implementation of TFACTS and currently in OIS Operations	Review industry best practices w/staff and incorporate in OIS operational procedures	1st QTR	Deputy Comm	Schedule for Feb 2012
	Lack of Adequate Quality Management	Lack of adequate quality mgt resulting in poor TFACTS s/w code w/ excessive defects & missing functionality	Establish quality assurance processes & procedures & appoint a QA Manager for oversight	1st QTR	Deputy Comm	Resource Id'd for appt
	Inadequate Risk Management	Poor Risk Mgt during TFACTS & currently in OIS, including TFACTS, are not id'd/managed	Establish Risk Management Plan & appoint a Risk Manager	1st QTR	Deputy Comm	Resource Id'd for appt
	Lack of Issue / Action Item Management	Poor issue / a.i. mgt during TFACTS & currently w/ no process / vehicle to track / manage issues	Establish an Issue / AI Mgt Plan & appoint a manager for oversight	1st QTR	Deputy Comm	Resource Id'd for appt
	Inadequate Hotline Log	Hotline log maintenance, metrics collection / tracking was unsatisfactory	Transfer ownership to the Customer Care Center manager to maintain	1st QTR	Dir Cust Svc	Schedule for Feb 2012

Process Deficiencies	Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete
	Lack of Negotiation Process	Winning vendor & OIS did not have a mutual understanding of all contract requirements creating conflicts throughout TFACTS dev	Future procurements should have a negotiation process / period prior to signing the contract	Each Time	Deputy Comm	Next Procurement
	RFP / Contract Not Always Followed	The RFP was detailed & comprehensive with adequate processes but management did not always adhere to the RFP/Contract provisions	Future procurements should require independent audits that the contract is being fulfilled during execution	Each Time	Deputy Comm	Next Procurement
	Poor Defect Prioritization and Maintenance	10,000 defects recorded by 10/27/2011 with approx 1,780 still active. Majority not prioritized or maintained correctly.	OIS to schedule review of defects to properly prioritize & a manager assigned to maintain the list	1st QTR	Dir App Mgt	Schedule for Feb 2012
	Deficient Problem Escalation	Deficient problem escalation led to an unhealthy working relationship between contractor & State PM's during TFACTS development	Future projects should empower PM's to resolve problems / issues at the lowest level	Each Time	Deputy Comm	Next Procurement
	Contract Requirement Changes Not Formally Documented	Requirements (new, changed, obsolete) were not formally documented for updating in the contract	Future procurements should ensure all changes to the original contract are updated formally	Each Time	Deputy Comm	Next Procurement
	Use of Off-shore / Off-site Development Created Development Problems	Allowing the vendor to code s/w off-site prevented OIS from job-shadowing & participate in required code walkthroughs	Future procurements should not allow off-site / off-shore development	Each Time	Deputy Comm	Next Procurement
	Inconsistent Development Standards Employed	Code was developed in India, Ohio & other locations where DRC, Deloitte & subs were located creating deprecated code, inconsistent terminology & documentation	Code construction should be on-site with sufficient opportunity for code & documentation reviews during development of the product	Each Time	Deputy Comm	Next Procurement
	Inadequate Test Processes	289 defects reported during pilot & 1,072 after go-live indicates testing was not adequate from the vendor or OIS oversight	OIS develop QA/Test processes & procedures & hire a QA Mgr/Supvr + develop adequate QA/Test expertise	1st QTR	Dir App Mgt	Exec Svc Appt Pend
	Lack of Readiness / Support Processes	Contract did not provision for Implementation Readiness requiring OIS to use inexperienced limited resources to perform this role	Future procurements should include provision for Implementation Readiness and on-site support for end-users	Each Time	Deputy Comm	Next Procurement
	Inefficient Software Build Process	Issues exist w/TFACTS builds. OIS S/W build process is manually intensive requiring 3 - 4 hrs & should take no more than 30 - 45 minutes	OIS develop a detailed s/w build process to automate & optimize the build process	1st QTR	Dir App Mgt	Assessment Underway
	Failure to Follow QA / IV&V Recommendations	QA IV&V provided recommendations to improve processes / quality during TFACTS that were not adopted by Management/OIS	QA IV&V requires a bigger role w/ more authority in future procurements to improve overall product quality	Each Time	Deputy Comm	Next Procurement

Deficient Functionality	Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete
	Excessive # of Defects / Enhancements Pending	Deficient TFACTS / functionality as evidenced by 1,352 defects & 412 enhancements still pending needing design & development	OIS review defects / enhancements to determine validity & prioritization for development	1st QTR	Dir App Mgt	Schedule for Feb 2012
	Excessive # of Functional Deficiency Workarounds	Deficient TFACTS / functionality as evidenced by 82 "workarounds" documented at go-live to by-pass deficient functionality	OIS review all "workarounds" to determine validity & prioritization to correct deficiencies	1st QTR	Dir App Mgt	Schedule for Feb 2012
	Excessive # of Fix It Scripts	Deficient TFACTS / functionality as evidenced by 55 "fix-it" scripts run daily, weekly, monthly to correct TFACTS deficiencies	OIS review all "fix-it" scripts to link to defects & prioritize for development	1st QTR	Dir App Mgt	Schedule for Feb 2012
	I-3 Phone Interface Not Working in TFACTS	Deficient functionality as evidenced by the I-3 phone interface not working. The I-3 phone interface pre-populates referrals in TFACTS & attaches the sound file for the case record	OIS work w/ I-3 to develop the interface to TFACTS to correct this deficiency	4th QTR	Dir App Mgt	Schedule for Oct 2012
	On-Line Help Not Very Helpful	On-line help in TFACTS was not developed in sufficient detail to be helpful to the end-user	OIS update the on-line help feature to provide end-users the info they need	2nd QTR	Dir Cust Svc	Reviews Underway
	Checklists Not Developed	Checklists not developed in TFACTS to assist end users for required actions	OIS create & incorporate checklists in TFACTS	3rd QTR	Dir Cust Svc	Schedule for Aug 2012
	CPS Intake / Investigation Deficient Functionality	This functionality has the most issues / defects id'd / pending since go-live other than financial	OIS correct defects/develop the major enhancements which have the most impact to end users for CPS Intake	2nd QTR	Dir App Mgt	Schedule for Jun 2012
	Case Recordings Deficient Functionality	Case Recordings lacks sufficient business rules / Guardrails. Most used functionality in TFACTS - requires data clean up constantly due to end users not selecting correct values	OIS develop enhancement to implement guardrails to ensure correct values are selected for TCM billing & Brian A face to face reporting	1st QTR	Dir App Mgt	In Progress / Under Construction
	Assessments Deficient Functionality	No integration between assessments & other related functionality in TFACTS. Most requested enhancement from Permanency Plan Group	OIS develop enhancement to integrate assessments with other functionality & fix other defects to FAST & CANS	3rd QTR	Dir App Mgt	Schedule for Jul 2012
	Permanency Plan Deficient Functionality	There are 72 known defects with the Permanency Plan w/ 36 involving reports. This is #1 issue in all 3 grand regions	OIS develop enhancement to permanency plan to resolve all defects	2nd QTR	Dir App Mgt	Schedule for May 2012
	Court / Juvenile Justice Deficient Functionality	Design of court, legal status & removal record modules is fragmented in TFACTS & difficult to get correct info entered/updated timely	OIS re-design & develop to fix the Court / Juvenile Justice deficient functionality	2nd QTR	Dir App Mgt	Schedule for Apr 2012
	Adoption Deficient Functionality	Significant defect - child's SSN cannot be recorded on the adoption case	OIS re-design & develop the fix to the SSN / adoption deficient functionality	2nd QTR	Dir App Mgt	Schedule for May 2012
	Placement Authorization / Reauthorization Deficient Functionality	Placement corrections, temporary breaks, adjustments, repayment functionality not working correctly requiring manual fixes	OIS develop the enhancements as a top priority	1st QTR	Dir App Mgt	In Progress / Under Construction



Financial Management Deficient Functionality	Deficiencies include data synchronization; retro-adjustments; rounding errors; reimbursement basis; service level funding mix; funding mix table	OIS develop the enhancements as a high priority	1st QTR	Dir App Mgt	In Progress / Under Construction
Resource Home Recruitment, Inquiry, Approval Deficient Functionality	Home Study does not match what the field is doing requiring a significant amount of manual data fixes	OIS develop the enhancements as a high priority	2nd QTR	Dir App Mgt	Schedule for Apr 2012
TFACTS Security Deficient Functionality	Security profiles in TFACTS are not restricting access to some data	OIS develop the enhancements as a high priority	2nd QTR	Dir App Mgt	Schedule for Jun 2012
Assignment Deficient Functionality	Some outstanding issues with how the TFACTS ends or transfers assignment	OIS develop the enhancements needed	3rd QTR	Dir App Mgt	Schedule for Jul 2012
Approval Process Deficient Functionality	Approval status displays "open" when actually "closed" & items dropping off approval windows after approval	OIS assess the deficiency, design & implement a solution	3rd QTR	Dir App Mgt	Schedule for Aug 2012
Notifications / Alerts Deficient Functionality	TFACTS has 180 email notifications w/ only half implemented & more disabled since go-live due to end users getting inundated with notifications / alerts	OIS & program staff review to determine the appropriate alerts & notifications for the TFACTS to generate to end users	3rd QTR	Dir App Mgt	Schedule for Sep 2012
Reports / Forms Deficient Functionality	TFACTS has 66 standard reports / forms. Many need programmatic changes others require cosmetic updates	OIS review each report / form & update as required	3rd QTR	Dir App Mgt	Schedule for Sep 2012
Deficient OptimaJ Models / Code	TFACTS OptimaJ Models / Code has issues that are contributing to deficiencies in TFACTS	That expertise in OptimaJ be contracted to assess code & work w/ OIS to repair	1st QTR	Deputy Comm	Assessment in progress
Deficient Data Warehouse	The Data Warehouse was not designed & constructed properly and does not work with the Micro Strategy BI tool for reporting & dash boarding capability	Gather requirements, re-design & reconstruct the data warehouse	4th QTR	Dir Data Mgt	Gather Requirements Feb 2012
Deficient Search Capability	IIR search has never worked correctly & is a liability to the State if the person & address search is not functioning	OIS engage the IIR vendor to fix the search capability of its tool for use in TFACTS	1st QTR	Deputy Comm	In Progress w/ Informatica
Lack of Mobile Integration	The Contract required a mobile solution to enable case workers to perform in remote locations w/out returning to the office.	OIS review mobile solutions for development	4th QTR	Dir App Mgt	Schedule for Dec 2012
Lack of DOE TCM Interface	There were a # of issues cited by the Vendor prevented the DOE TCM interface to TFACTS	OIS review barriers to DOE TCM interface & design a solution	4th QTR	Dir App Mgt	Schedule for Dec 2012
Finalists - GIS Conflicts	The Finalist product & the State's GIS do not always provide accurate address matches	Work w/GIS to review the issue with the mismatch & determine a solution	4th QTR	Dir App Mgt	Schedule for Nov 2012
Deficient Audit Capability	TFACTS does not record employee id's when data is deleted so there is no audit capability	OIS review TFACTS auditing functionality & determine a solution	2nd QTR	Dir App Mgt	Schedule for Apr 2012
Deficient Foster Care Phone-In Interface	Functionality was not available at go-live preventing overpayments	OIS review this functionality to ensure all is working properly now	2nd QTR	Dir App Mgt	Schedule for Apr 2012

Assessment Finding		Finding Remarks	Action Item	Done By	Owner	Status / % Complete
Deficient OptimalJ	Lack of Constraints in Domain Models	Constraints may be missing from the OptimalJ Domain Models creating poor performance	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress
	Domain Models Not built Correctly	Domain models do have proper relationships established and do not integrate	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress
	Domain Models Do Not Update	When generating new code to fix defects / construct enhancements, some of the domain models do not update preventing fixes to code	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress
	Missing or Incorrect Domain Classes	There are missing or incorrect domain classes impacting TFACTS ability to function correctly	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress
	Data / Referential Integrity Issues	There are instances reported where data has been lost / not saved by TFACTS	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress
	Stored Procedures By-pass OptimalJ	Stored procedures by-pass OptimalJ & IBM Websphere EJB layer preventing transactions from being verified	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress
	Solution Locks State into Old Java / Jboss / EJB Versions	OptimalJ is preventing upgrade to new versions of Java / Jboss / EJB & their enhanced functionality	That expertise in OptimalJ be contracted to work w/ OIS to repair	1st QTR	Deputy Comm	Compuware Assessment in progress



Deficient Training	Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete
	Insufficient User Training	Users continue to have difficulty understanding how to navigate TFACTS and input data / perform work functions	OIS work with program staff to develop a robust training plan & training aides (user guides) by functional area	3rd QTR	Dir Cust Svc	Review Initiated
	Insufficient Technical Training	OptimalJ, Java Code development, S/W builds, MicroStrategy, script development, FileNet are some of the insufficient technical skills of staff	OIS conduct additional skills training for its staff	1st QTR	Deputy Comm	Skills Assessment in progress
	Insufficient Knowledge Transfer	Knowledge transfer regarding OptimalJ, Java Coding, S/W builds, MicroStrategy, script development, FileNet was insufficient for OIS to operating & maintain TFACTS	OIS conduct additional skills training for its staff	1st QTR	Deputy Comm	Skills Assessment in progress
	Insufficient Training Aids	There was no quick reference guide, user manual, operations manual. Training materials were provided only high level navigation of TFACTS. On-line help was no help.	OIS work w/ program staff to develop training plans & training aides/guides by functional area, plus update on-line help, knowledge base & storyboards	3rd QTR	Dir Cust Svc	Review Initiated
	Insufficient Training Environments	There is no "training sandbox" for users, including private providers, to become proficient on TFACTS	OIS establish a training environment for TFACTS	1st QTR	Dir of Infra Spt	Plan Developed
	Lack of Help Desk Training	Help Desk staff have had no training on TFACTS & cannot help TFACTS callers	Conduct TFACTS training for help desk staff and update TFACTS knowledge base in Remedy	1st QTR	Dir Cust Svc	Review Initiated

Assessment Finding		Finding Remarks	Action Item	Done By	Owner	Status / % Complete
Deficient Customer Support	Lack of Customer Focus	There has been a general lack of customer focus in the OIS organization, particularly on the Help Desk that has resulted in dissatisfied customers	Replace the Help Desk Management & conduct customer relationship management training.	1st QTR	Deputy Comm	Resource Id'd for appt
	Inadequate or No TFACTS Help Desk Training	Help Desk staff have had no training on TFACTS & cannot help TFACTS callers	Conduct TFACTS training for help desk staff and update TFACTS knowledge base in Remedy	1st QTR	Dir Cust Svc	Review Initiated
	Inadequately Staffed Help Desk	There are 4 Tier 1 level positions with 2 vacant. There are 2 Tier 2 level positions with 1 on FMLA. None are experienced help desk professionals.	Source at least 2 experienced Help Desk staff	1st QTR	Dir Cust Svc	Reviewing Resumes
	Too Much Reliance on CO-OP Students	Help Desk Management placed 5 inexperienced & untrained CO-OP students as Level 1 support.	Replace CO-OP students with State staff	1st QTR	Dir Cust Svc	Reviewing Resumes
	No Help Desk Service Level Agreements	The Help Desk have no SLAs established, performance is not monitored / tracked, & customer satisfaction is not measured.	Establish min SLAs for speed of answer, call duration, # of calls per rep, abandoned calls, # tickets open/closed, % 1st call resolved, customer satisfaction	1st QTR	Dir Cust Svc	Research Initiated
	Excessive Response and Resolution Time	Customers complain about HD service regarding time to respond & resolve issues. Customers by-pass the Help Desk whenever possible & call direct to BA's or desktop support	OIS reconstitute the Help Desk with appropriately experienced & trained staff with SLAs to measure & improve quality of service	1st QTR	Dir Cust Svc	Research Initiated
	Ineffective use of the Remedy Help Desk Software	Full capabilities of the Remedy Help Desk S/W is not being used to include management reporting, resolution updates & knowledge base	OIS schedule demo of capabilities of Remedy and incorporate the full functionality to support the DCS org	1st QTR	Dir of Infra Spt	Remedy Vendor Contacted

Inadequate Data Conversion	Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete
	Flawed Conversion Script	Review of data from the data conversion from legacy to the TFACTS database determined that some data did not convert due to a flawed script	Review the flawed data conversion script, fix deficiencies, test the new data conversion script for future conversions	1st QTR	Dir Data Mgt	Schedule for Feb 2012
	Poor Data Validation Execution	The data validation processes used during the TFACTS data conversion were ineffective & did not capture the data that was not converted	Review data validation processes, revise, document & test effectiveness for future data conversions	2nd QTR	Dir Data Mgt	Schedule for May 2012
	No Catch-Up Conversion	Data that was entered into legacy systems during the June - August 2010 timeframe was never converted into TFACTS	Assess what data was not converted, develop & test a plan to conduct the required catch-up conversion	3rd QTR	Dir Data Mgt	Schedule for Aug 2012
	Missing Data (FoxPro Applications)	Some legacy obsolete FoxPro apps are still being used by DCS staff & that data has not been converted into the TFACTS database	Ensure functionality is in TFACTS to support what the FoxPro apps do, convert the data to TFACTS, & decommission the use of the FoxPro applications	3rd QTR	Dir Data Mgt	Schedule for Aug 2012

Deficient Data Warehouse	Assessment Finding	Finding Remarks	Action Item	Done By	Owner	Status / % Complete
	Poorly Designed Data Warehouse	No business requirements. No entity relationship diagram (ERD). Non-industry standard hybrid star schema w/snowflake schema. Design does not interface with BI tool purchased.	Re-design data warehouse starting with business requirements. Prepare ERD. Use industry standard Star Schema. Ensure design interfaces w/BI tool.	2nd QTR	Dir Data Mgt	Schedule for Apr 2012
	Poorly Constructed Data Warehouse	Dimension, Fact & Aggregate tables were not developed to industry standards creating an inefficient & inadequate data warehouse.	Re-construct the data warehouse w/ properly developed dimension, fact & aggregate tables.	4th QTR	Dir Data Mgt	Schedule for Dec 2012
	Inadequate Data Warehouse Staff Resources	Of the 19 staff on the Data Warehouse Team, only 1 had experience designing, constructing, operating & maintaining a data warehouse.	Re-constitute the data warehouse team with the appropriate type & experienced staff.	1st QTR	Dir Data Mgt	Schedule for Feb 2012
	Inadequate Data Warehouse Staff Skills	There is no data warehouse architect, data modeler, OLAP/ETL Specialist, BI Tool Specialist, Data Warehouse Database Administrator.	Recruit staff with the appropriate data warehouse skills & experience to design, develop, operate & maintain the DCS Data Warehouse.	1st QTR	Dir Data Mgt	Reviewing Resumes
	Data Warehouse Implemented After Go-Live	Poor schedule management resulted in implementation after go-live preventing early discovery of TFACTS data & reports issues.	Future procurements should ensure all functionality is ready prior to go-live.	Each Time	Deputy Comm	Next Procurement
	Unusable Business Intelligence Tool	Due to poor design & construction of the data warehouse, the BI tool is unusable for reports & the dash boarding capability intended	Ensure the re-design & re-construction of the Data Warehouse works with the BI tool	4th QTR	Dir Data Mgt	Schedule for Dec 2012
	Queries Take Hours	Queries of the data warehouse for reporting purposes are taking hours instead of minutes	Ensure the re-design & infrastructure are optimized for efficient performance	4th QTR	Dir Data Mgt	Schedule for Dec 2012
	Lack of Micro Strategy Licenses	OIS did not purchase sufficient Micro Strategy licenses to test in the UAT environment which prevented discovery of reporting issues prior to delivery to the customer	OIS needs to purchase sufficient licenses for the testing environment	3rd QTR	Dir Data Mgt	Schedule for Sep 2012
	Missing Data (Conversion)	A flawed data conversion script did not get all required data into TFACTS to populate the data warehouse	Assess what data was not converted, develop & test a plan to conduct the required catch-up conversion	3rd QTR	Dir Data Mgt	Schedule for Aug 2012
	Missing Data (End User Input)	There is a lack of policy requiring field data entry in some areas as well as data inputted in the wrong place in TFACTS	Work with program staff to identify where policy is needed to ensure data entry	2nd QTR	Dir Data Mgt	Schedule for Apr 2012
	Inaccurate Data (End User Input)	TFACTS functionality does not have guardrails to prevent inaccurate data from being entered creating inaccurate reports needing clean-up	As each TFACTS module is being updated, ensure guardrails are identified and developed	4th QTR	Dir Data Mgt	Schedule for Dec 2012 Completion
	Reports Not Developed	Many reports required for day-1, including financial reports, are still not available. In addition, 35 Brian A. reports are not yet complete. 1 Federal report is not done yet.	OIS conduct a review of all incomplete reports & establish a reports dev project to implement all needed reports to support the DCS	4th QTR	Dir Data Mgt	Schedule for Dec 2012 Completion

Assessment Finding		Finding Remarks	Action Item	Done By	Owner	Status / % Complete
Deficient Staff Skills	Inadequate Data Warehouse Skills	There are no technical data warehouse experts that can design, dev, operate & maintain the data warehouse. There are 5 ITPRO contractors for Micro Strategy report dev but no functional BI tool	Terminate the 5 Micro Strategy contractors & hire the appropriate data warehouse technical staff	1st QTR	Dir Data Mgt	Reviewing Resumes
	Inadequate Data Conversion Expertise	A flawed data conversion script was developed for TFACTS conversion. There is no data conversion specialist on staff.	Review need to contract/hire a data conversion specialist to plan/execute the missed data conversion catch up	1st QTR	Dir Data Mgt	Schedule for Mar 2012
	Inadequate Project Management Skills	Project Management during TFACTS was inadequate. There is no project management staff currently in OIS	Hire a Director of Project Mgmt to plan, execute, monitor & control projects within OIS	1st QTR	Deputy Comm	Exec Svc Appt Pend
	Inadequate Testing Skills	OIS does not have skills required to adequately test TFACTS functionality prior to deployment. The QA / Test staff does not know how to automate test scripts. There is no manager over QA/Test.	OIS to hire test management expertise, conduct training, & automate test scripts. Appoint a QA/Test Manager.	1st QTR	Deputy Comm	Exec Svc Appt Pend
	Inadequate OptimaJ Skills	OIS staff do not have the skills required to use the tool for making code changes to fix defects & develop enhancements to TFACTS	Provide OptimaJ training to OIS staff responsible for generating & compiling TFACTS code	1st QTR	Deputy Comm	In progress w/ Compuware
	Lack of PL / SQL Skills	There are only a limited # of staff with PL / SQL skills putting a large work load burden on just 2 - 3 staff for all script development	Provide PL / SQL skill training to OIS staff responsible for generating scripts in support of TFACTS	3rd QTR	Deputy Comm	Schedule for Jul 2012
	Lack of Enterprise Content Management / FileNet Skills	There is no one on the OIS staff with ECM/FileNet skills needed to interface with TFACTS & its operation & maintenance	Provide ECM/FileNet skill training to OIS staff responsible for interfacing the ECM w/ TFACTS & its operation	3rd QTR	Deputy Comm	Schedule for Jul 2012
	Lack of Crystal Report Skills	There are only a limited # of staff with Crystal Report skills putting a large work load burden on just 2 - 3 staff for all TFACTS Crystal Report development & ECM / FileNet reports	Provide Crystal Report skill training to OIS staff responsible for developing reports	3rd QTR	Deputy Comm	Schedule for Jul 2012
	Lack of SharePoint Expertise	There is no one on the OIS staff w/SharePoint skills needed to develop/maintain DCS sites	Hire a SharePoint engineer & provide training for other staff	1st QTR	Dir of Infra Spt	Reviewing Resumes
	General Lack of Supervisory / Managerial Expertise	There was a general failure across the board of supervisors / managers / directors during the TFACTS project and currently	Remove staff as necessary. Move staff to more appropriate positions. Hire Directors / Managers into key leadership positions.	1st QTR	Deputy Comm	Reorganize OIS in Feb 2012
	Lack of Help Desk Skills	The Help Desk is totally inadequate to support TFACTS & provide general support for DCS	Remove & replace staff as necessary. Conduct training. Establish SLAs.	1st QTR	Dir Cust Svc	Review Initiated

